



Monday, February 25, 2019
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 January 28, 2019 David Turpin
3. Report from the President David Turpin
- Update from the Transition Committee (no documents)

ACTION ITEMS

4. Bill 27: Conflicts of Interest Amendment Act – Updated Draft Employee Code of Conduct Brad Hamdon
Wayne Patterson
Motion: To Recommend Board of Governors Approval
5. Proposed Revisions to Standing Committee Terms of Reference - GFC Executive Committee David Turpin
Motion: To Approve
6. Proposed Terms of Reference for the Council on Student Affairs (COSA) Masoud Aliramezani
Tammy Hopper
Motion: To Approve

EARLY CONSULTATION

7. Proposed Revisions to Terms of Reference - General Faculties Council Eleni Stroulia
Tammy Hopper
Marion Haggarty-France

DISCUSSION ITEMS

8. Workplace Impairment Policy and Procedures Marj Cayford
Wayne Patterson
9. Report of the Campuses and Facilities Safety and Security (CFSS) Working Group James Allen
Rob Munro
10. Green and Gold Scholar Steven Dew
11. University of Alberta 2019-20 Budget (no documents) Gitta Kulczycki
Steven Dew
12. Question Period David Turpin

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.]

13. Report of the GFC Executive Committee
14. Report of the GFC Academic Planning Committee
15. Report of the GFC Academic Standards Committee
16. GFC Nominations and Elections
- Election results for positions on Search and Review Committees
17. Information Items
A. Annual Report on Undergraduate Enrolment 2018-19
18. Information Forwarded to GFC Members Between Meetings (no items)

CLOSING SESSION

19. Next meeting of GFC: March 18, 2019

Presenter(s):

David Turpin	President and Vice-Chancellor, Chair General Faculties Council
Brad Hamdon	General Counsel
Wayne Patterson Tammy	Vice-Provost and Associate Vice-President (Human Resources)
Hopper Masoud	Vice-Provost (Programs), Vice-Chair GFC Executive Transition Committee
Aliramezani Eleni	Graduate Students' Association Vice-President (Academic)
Stroulia	Chair, GFC Executive Transition Committee
Marion Haggarty-France	University Secretary
Marj Cayford	Senior HR Partner, Human Resource Services
James Allen	Associate Vice-President (Operations and Management)
Rob Munro	Associate Vice-President (Risk Management Services), Acting
Steven Dew	Provost and Vice-President (Academic)
Gitta Kulczycki	Vice-President (Finance and Administration)

Documentation was before members unless otherwise noted.

Meeting REGRETS to: Heather Richholt, 780-492-1937, richholt@ualberta.ca
Prepared by: Meg Brolley, GFC Secretary
University Governance www.governance.ualberta.ca

**Governance Executive Summary
Action Item**

Agenda Title	Conflicts of Interest Amendment Act Code of Conduct: Employees' Obligations Respecting Conflicts of Interest
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Motion

THAT General Faculties Council recommend to the Board of Governors the Code of Conduct: Employees' Obligations Respecting Conflicts of Interest, as set forth in Attachment 1, to take effect July 1, 2019.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Office of General Counsel, Provost and Vice-President (Academic) and Vice-President (Finance & Administration)
Presenter(s)	Brad Hamdon, General Counsel Wayne Patterson, Vice-Provost & Associate Vice-President (Human Resources)

Details

Responsibility	Office of General Counsel, Provost and Vice-President (Academic) and Vice-President (Finance & Administration)
The Purpose of the Proposal is <i>(please be specific)</i>	To present to GFC the Code of Conduct: Employees' Obligations Respecting Conflicts of Interest, as approved by the Ethics Commissioner on January 17, 2019.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The <i>Conflicts of Interest Amendment Act</i> came into force in December of 2017. The Act imposes an obligation on public agencies, including the University of Alberta, to have Codes of Conduct governing their employees.</p> <p>The Code of Conduct must address the following:</p> <ul style="list-style-type: none"> – A requirement to act impartially in carrying out their duties; – Restrictions on acting in self-interest or furthering private interests; – Disclosure of real and apparent conflicts of interest; – Restrictions on the acceptance of gifts, including monetary limits and maximum values; and – Limitations on concurrent employment or appointments with a process for approval. <p>The University has existing policies and procedures and collective agreement language in place to comply with the majority of the Act's requirements. Accordingly, the Code of Conduct is mostly a re-statement of existing language that has been approved through the normal governance approval processes or through collective bargaining.</p> <p>The Ethics Commissioner had indicated that she would not accept a Code of Conduct with hyperlink references to other policy documents. As a result, a "copy and paste" approach was adopted, copying the most relevant sections from existing University policies, procedures and collective agreements to address the requirements of the legislation. The attached Annotated Version of the Employee Code shows the source of</p>

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	<p>the original language, if applicable.</p> <p>Two areas where gaps were identified within current policies and procedures were with respect to the acceptance of gifts and concurrent employment. The University worked with the Ethics Commissioner's Office for several months to try to develop acceptable language to address these areas. In November and December, the five universities in Alberta worked with the Ethics Commissioner to develop "guiding principles" related to these two areas where agreement could not be reached. The guiding principles have been utilized in preparing the Codes.</p> <p>The Code of Conduct for the University of Alberta was approved by the Ethics Commissioner on January 17, 2019 and must be publicly posted as per Legislation by April 30, 2019. Once the Code has been finally approved, it will come into force on July 1, 2019.</p> <p>A roll out plan to introduce the Code more broadly to the University community is being developed and will commence once the Code has been approved. It will include frequently asked questions and other information to help employees understand what their obligations are under the Code.</p>
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity.</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • PEC-O, Deans Council, General Counsel, external counsel – throughout the process (January 2018 – January 2019) <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • PEC-O – November 8, 2018 • NASA – December, 2018 • GFC Exec – January 14, 2019 • AASUA – January 23, 2019 • PEC-S – January 24, 2019 • GFC – January 28, 2019 • Deans' Council – February 6, 2019
Approval Route (Governance) (including meeting dates)	<p>February 25, 2019 - General Faculties Council February 26, 2019 - Board Human Resources Compensation Committee March 15, 2019 - Board of Governors</p>

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>Excel: To excel and achieve our full potential as an institution and as individuals, the University of Alberta will sustain a learning and research culture that inspires, supports, and champions high professional standards and outstanding achievements in basic and applied research and scholarship, creative activity, administration, and governance.</p>
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.

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	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	Conflicts of Interest Act Bill 27: Conflicts of Interest Amendment Act	

Attachments (each to be numbered 1 - <>)

1. Code of Conduct: Employees' Obligations Respecting Conflict of Interest (page(s) 1 - 33)
2. Code of Conduct: Employees' Obligations Respecting Conflict of Interest – Annotated Version (page(s) 1 - 33)

Prepared by: Brad Hamdon, General Counsel, bhamdon@ualberta.ca and Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources), wayne.patterson@ualberta.ca



**Code of Conduct:
Employees' Obligations Respecting
Conflicts of Interest**

5th Submission (Clean)

January 16, 2019

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A. Preamble

The highest Standards of Ethical Conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest Standards of Ethical Conduct.

Much of the substantive language in this Code has been copied from existing University policies, procedures and collective agreements.

B. Application of this Code

This *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* (the "Code") applies in respect of all Representatives of the University, including the President of the University when acting as an Employee or meeting their obligations as a senior official or designated senior official under the *Conflicts of Interest Act*, but does not include:

- Members of the Board of Governors or the President of the University when acting as a Board Member, who are governed by the separate *Code of Conduct: Board of Governors*;
- Non-employees, including professors emeriti, visiting academics, volunteers, contractors, or others acting on behalf of the University. The obligations and standards of conduct owed by these persons are contained in the individual policies and procedures provided by the University.

Together, the *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* and the *Code of Conduct: Board Members' Obligations Respecting Conflicts of Interest* work together to exemplify the University's ethical standards, provide individuals with principles to guide their behaviour, and emphasize the importance the University places on the avoidance of real or apparent conflicts of interest. Any questions about the interpretation or operation of this Code may be addressed to the Vice-Provost and Associate Vice-President (Human Resources).

This Code is intended to operate alongside existing collective agreements but does not purport to change any rights or obligations negotiated between the University and any union.

C. Global Definitions

The following definitions apply to all sections of this Code, excepting where a definition is specifically provided as otherwise in a section of this Code, within a collective agreement, or in the Handbook of Terms and Conditions of Employment For Management and Professional Staff (Excluded):

Allowed Conflict: Conflict that can be managed in a way that is compliant with legislation, considers, protects and serves the interests, integrity and reputation of the University, and will withstand the test of reasonable and independent scrutiny.

Board of Governors: The Governors of the University of Alberta as defined in the *Post Secondary Learning Act* P-19.5 2003.

Conflict(s): Conflict of interest, conflict of commitment, or institutional conflict.

Conflict of Commitment: A situation whereby the external or personal activities, undertakings or relationships of a person are so demanding or organized in such a manner or are otherwise such that they may interfere with the person's obligations to the University or to others or institutions that are separate from the University but to whom the person owes an obligation because of their relationship to the University.

Conflict of Interest: A situation in which there is or may be perceived to be a divergence between the private financial benefit or financial interest or personal benefit of a person, **family member**, or an **outside party**, and that person's obligations to the University, such that an impartial observer might reasonably question whether related actions to be taken or decisions made by the person would be influenced by consideration of the person's own interests.

Conflict Review Officer: According to those relationships detailed in the disclosure report, the next appropriate senior reporting officer.

Disclosure Report: A report that discloses conflict-type specific considerations relevant to deciding whether a person wishing to proceed with an activity that would or may give rise to conflict should be allowed to undertake that activity.

Family Member: Includes a person's spouse or adult interdependent partner or another individual to whom the person is related by blood, marriage or adoption.

Financial Benefit: The receipt or expectation of anything of monetary value, including pay or salary or other payments for services (e.g. consulting fees or honoraria), equity (shares, options or the like) security or other ownership interests, and intellectual property rights (e.g. patents, copyrights, royalties or carried interests or options related to such rights)

Financial Interest:

(A) Ownership in the form of shares in a privately held company or

(B) Ownership in a publicly traded company in the form of shares with a market value of greater than \$50,000.00 or representing more than 10% of the company's outstanding shares or

(C) Where the person is a member of a board of either a privately held or publicly traded company.

Good Faith (or "**Good Faith Disclosure**"): A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate University authority.

Institutional Conflict: A situation in which the University, or an institution, has an existing relationship with a party with which the University or the institution proposes to enter into an activity such that an impartial observer might reasonably question whether the existing relationship might prejudice decisions of the University or an institution with respect to the activity.

Office of Administrative Responsibility: The area within University administration, that is ultimately responsible for administering a particular policy and/or procedure.

Outside Party: Includes any corporation, partnership, sole proprietorship or other legal entity organized for the furtherance of a non-University interest (for profit or otherwise) and clients or patients to whom the person or the University provides individual professional services

Personal Benefit: The receipt or expectation of any personal (workplace or otherwise) benefit of a non-monetary value.

President of the University (or "**President**"): The individual appointed by the Board of Governors to the position of President pursuant to Section 81 of the *Post-Secondary Learning Act*, SA 2003 c P-19.5.

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- For greater certainty, the President is the “chief executive officer” of the University for the purposes of the *Conflicts of Interest Act*, as that term is defined at Section 23.92(1)(b) of that Act.
 - For greater certainty, the President is both a “senior official” and a “designated senior official” for the purposes of the *Conflicts of Interest Act*, as those terms are respectively defined at Sections 23.92(1)(k) and 23.92(1)(d) of that Act, by designation under Order in Council 085/2018 of the Lieutenant Governor in Council.

Reporting Individual: A person required to report in accordance with this Code.

Reporting Officer: For any person, the holder of the office to whom the person reports or who has supervisory responsibility over the reporting individual. Specifically, for example:

- for a Vice-President, the President.
- for a Deputy Provost or a Vice-Provost, the Provost and Vice-President (Academic).
- for an Assistant or Associate Vice-President, the appropriate Vice President
- for a Dean of a Faculty and the Chief Librarian, the Provost and Vice-President (Academic).
- for an Associate Dean or Vice-Dean, the Dean.
- for a Chair of a Department, the Dean.
- for the Director of an administrative unit or equivalent, the Vice-President responsible for that unit.
- for support staff, the holder of the office to whom the support staff reports or who has supervisory responsibility over the support staff; however, the reporting officer for a support staff will not be another support staff.
- for academic staff of a Faculty with departments, the Chair.
- for academic staff of a Faculty without departments, the Dean.
- for a post-doctoral fellow, the supervisor of the post-doctoral fellow.
- for a graduate student, the student's supervisor or supervisory committee.
- for a staff member of a centre or institute, the person within the University responsible for that centre or institute

Representative of the University of Alberta (or “Representative”): Executive officers, faculty, staff, post-doctoral fellows, and student employees.

Reprisal: Punitive actions taken against a person for making a good faith disclosure, including, but not limited to:

- Disciplinary action
- Termination
- Adversely affecting employment conditions
- A threat to do any of the above

Respondent: A party against whom an allegation has been made.

Safe Disclosure: Individuals are not subject to reprisal for reporting allegations made in good faith.

Standards of Ethical Conduct: Actions and behaviours which uphold the principles of integrity, respect and accountability, supported by an awareness of and compliance with the Code, relevant policies and procedures, collective agreements, applicable legislation and professional standards.

D. Ethical Conduct and Impartiality

Overview

The highest Standards of Ethical Conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest Standards of Ethical Conduct.

Whether involved in research, teaching or the governance and administration of the organization, all Representatives of the University of Alberta have an obligation to conduct themselves in a manner that is consistent with the University's stated values regarding ethical conduct.

As part of this obligation, and to protect the University and individuals from harm, Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

Purpose

- Describe the expectations concerning ethical conduct for Representatives of the University
- Confirm the rights of individuals in reporting conduct that does not meet the University's standards
- Confirm the University's obligation to protect person(s) making a **good faith disclosure** from **reprisal**
- Confirm the University's obligation to protect the rights of the person(s) against whom allegations are made
- To outline the procedures individuals should take when reporting conduct that does not meet the University's ethical standards

Policy

1. Standards of Ethical Conduct

All Representatives of the University of Alberta are prohibited from acting in self-interest or furthering their private interests by virtue of their position or through carrying out their duties and shall maintain the highest Standards of Ethical Conduct.

2. Impartiality

Representatives are required to conduct themselves impartially in fulfilling their University duties. This means Representatives must discharge their duties in a non-partisan manner so as to ensure that public confidence and trust remain in the Representative and the University as a whole. Impartiality requires compliance with Section D-1 and the other provisions of this Code but is not intended to limit the academic freedom of the Representative.

3. Reporting

Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards. Such reports must meet the definition of good faith disclosure and be submitted to the appropriate authority.

The University will maintain an environment of **safe disclosure** when such a report is made, in which:

- a. The persons and offices that receive and/or investigate such reports shall protect the identity of the person making the report to the extent possible under government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

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- b. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report.
 - c. All individuals against whom allegations are made will maintain the rights, privileges and protections afforded to them through the *Freedom of Information and Protection of Privacy (FOIPP) Act* and other applicable government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

Procedure

4. Disclosure of Misconduct

University process indicates that allegations or concerns of conduct that does not meet the University's ethical standards are primarily addressed utilizing the procedures associated with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

Complainants should generally contact their manager or supervisor to disclose matters of alleged misconduct. Alternately, complainants may also contact the **Office of Administrative Responsibility** associated with the relevant policy and/or procedure.

In instances where it is unknown where to disclose the matter, or the complainant has reasonable apprehension about coming forward, reports can be made to the Office of Safe Disclosure and Human Rights (OSDHR).

Initial disclosures to the OSDHR may be made verbally or in writing. OSDHR may request that disclosures be made in writing dependent on the nature of the concern and the requirements of the underlying policies. Be advised that disclosures made to OSDHR do not necessarily constitute institutional knowledge as this office's main goal is to provide advisory and referral services to the appropriate mechanism.

Typically, in order for matters to be formally addressed, they will need to be reported to a **Representative of the University of Alberta** outside the OSDHR.

In general, disclosures should comprise of:

- The date and time of the incident(s);
- Identification of individuals responsible for the misconduct;
- Details of the alleged misconduct; and
- Name and contact information of the individual making the disclosure. Anonymous reporting may be permitted if it is permitted in the underlying processes (e.g. anonymous reporting is considered for fraud and irregularity but not for harassment).

5. Good Faith Disclosures and Reprisal

Any person making a good faith disclosure shall not be subject to reprisal.
Any person who believes they are subject to reprisal should contact the OSDHR.

6. Duty of Respondents

Those persons against whom allegations are made (**respondents**) must be treated in a fair and reasonable manner. Specifically, should formal complaints be made, respondents are entitled to:

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- Be informed as to who has made the allegation against them, except for matters where the relevant policy and procedure specifically allow for anonymous or confidential complaints or the safety of the complainant may be in question;
 - Only respond to allegations that have been made in a timely manner (as outlined in relevant policy if applicable);
 - Be privy to enough details pertaining to the allegation to respond accurately; and/or
 - Have the matter resolved in an expedient manner.

Respondents who feel that this duty is not being met, should contact the OSDHR.

E. Avoidance of Conflicts of Interest

Overview

The University is committed to academic freedom and excellence in teaching and research. In pursuit of this mission, the University and members of the University community frequently engage in activities or situations where actual or perceived **conflicts** will exist, or which raises the potential of actual or perceived conflicts. Rather than disallow all conflicts, the University assesses conflict considerations and, when appropriate, permits certain managed conflict.

However, conflict is permitted only if it can be managed in a way that:

- a. Is compliant with legislation;
- b. Considers, protects and serves the interests, integrity and reputation of the University; and,
- c. Withstands the test of reasonable and independent scrutiny.

To maintain public trust and confidence, the University manages conflict in a fair, open, consistent, and practical manner. All members of the University share in the responsibility to appropriately address conflict.

Assessing conflict requires the collection of personal information as defined in the *Freedom of Information and Protection of Privacy Act*. The University will conduct this and other conflict-related activities with the utmost discretion and in compliance with legislation.

Definitions

For the purposes of this Section 'E' only, the following definitions apply:

Academic Staff: An employee of the Board of Governors who, as a member of a category of employees or individually, has been designated as an academic staff member by the Board of Governors.

Conflict Review Committee: A committee established in accordance with this section.

Employee: All University of Alberta employees, including but not limited to faculty, staff, post-doctoral fellows, and student employees.

Event: Social, cultural, or sporting activities, charity or special functions, presentations, awards ceremonies, fundraisers, conferences and meetings hosted by a third party. It includes lunches, dinner, drinks, or other meals taken together.

Friend of the University: A person considering becoming a donor of the University.

Gift: A gift, bonus, reward or favour of any kind given to an individual. It does not include awards received.

Institution: The University or any corporation, partnership, or other legal entity owned, controlled or subject to the direction of the University.

Other Staff: Those individuals employed by the University on a part or full-time basis, who are not academic staff or support staff, and whether or not they are part of a bargaining unit.

Person: Includes academic staff, support staff, other staff, postdoctoral fellows and a person's corporation.

Person's Corporation: Any professional corporation or corporation beneficially owned or controlled by a person.

Students: Includes undergraduate and graduate students.

Support Staff: An employee of the University who is a member of, and pays dues to, the Non-Academic Staff Association (NASA).

Policy

The University will be vigilant and pro-active concerning conflict.

A person engaging in an activity or a situation that involves either existing (actual or perceived) or potential (actual or perceived) conflict shall report the conflict so that it may be assessed and, where appropriate, managed in accordance with the associated procedures. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

The University determines whether or not a situation or activity involves conflict. Therefore, all existing or potential conflict must be reported.

Purpose

- To reduce the incidence of conflict or potential conflict (**conflict of interest** or **conflict of commitment** or **institutional conflict**) and appropriately manage any permitted conduct.
- To clarify reporting requirements for existing or potential conflict, whether it is actual or perceived, and to outline the process for assessing conflict in order to make informed and sound decisions pertaining to matters of conflict of commitment or conflict of interest.

Procedure - Disclosure and Assessment of Conflicts of Interest

1. Reporting by a Person

- a. A person engaging in an activity or situation that involves either existing or potential conflict shall report the conflict so that it may be assessed and, where appropriate, managed.
- b. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.
- c. In accordance with this procedure, a person will self-assess and report activities or situations that may involve actual or perceived conflict and will complete a **disclosure report** and submit it to a **reporting officer**.

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- d. The following persons are required to complete a disclosure report on an annual basis, according to a 12-month in-the-future **reporting period**:
- **academic staff** under the Faculty Agreement or Librarian Agreement or Faculty Service Officer Agreement or Administrative and Professional Officer Agreement;
 - **support staff** who make financial or hiring decisions or who may have a research-related conflict;
 - **other staff** who make financial or hiring decisions;
 - other staff employed in a department, office or unit which has as its primary function the creation of legal relationships with individuals or entities that are not part of the University;
 - other staff who have the authority to enter into contracts or commitments on behalf of the University;
 - other staff who, as part of normal duties, have regular formal contact with individuals or entities that are not subject to the conflict policy;
 - a person who may have a research-related conflict.
- e. Notwithstanding the requirements outlined in 1.d. of this procedure, the University has the discretion to require additional persons to complete a disclosure report on an annual basis, according to a 12-month in-the-future reporting period, or on a case-by-case basis.
- f. Any time there is a change in material facts that were disclosed in a disclosure report, a **reporting individual** must submit a revised disclosure report immediately.
- g. A reporting officer will:
- solicit and monitor the submission of disclosure reports from those persons who they anticipate receiving a disclosure report;
 - send second notice date-specified requests for a disclosure report to persons from whom they would anticipate receiving a disclosure report; and
 - refer to a **conflict review officer** in instances where an expected disclosure report has not been submitted.
- h. The failure of a reporting officer to solicit a disclosure report does not release a person from their obligation to disclose existing or potential conflict.

2. Assessment by a Reporting Officer

- a. A reporting officer will receive disclosure reports from reporting individuals and will assess the information that has been provided in the disclosure report in accordance with this procedure.
- b. If the reporting officer has a financial benefit or **financial interest** or **personal benefit** in the considerations being assessed, the reporting officer will refer the disclosure report to the next appropriate senior reporting officer who will assume the role of reporting officer or assign an alternate.
- c. Where an existing or potential activity or situation is assessed for an actual or perceived conflict and where it is determined that there is:
- no conflict, the reporting officer will contact the reporting individual to indicate that they are free to proceed with the activity or engage in the situation.
 - a conflict and the activity or situation does not sufficiently serve the interests of the University or is not appropriately manageable or not able to withstand the test of reasonable and independent scrutiny, the conflict will not be allowed and the reporting

officer will contact the reporting individual to indicate that they are not free to proceed with, or continue to engage in, the activity or situation.

- a conflict and the activity or situation can be managed as an **allowed conflict**, a suitable method of monitoring and managing the allowed conflict will be determined and implemented before the reporting individual is free to proceed with, or continue to engage in, the activity or situation.

3. Management of Allowed Conflict

When an activity or situation can be managed as an allowed conflict, the reporting officer will:

- a. Work with the reporting individual to settle on the terms and conditions under which an activity or situation associated with an allowed conflict will be conducted and managed;
- b. Ensure documentation of any outcome in a memorandum of agreement in the specified form;
- c. Ensure the term, conditions, and management of an activity associated with an allowed conflict is consistent with the *Freedom of Information and Protection of Privacy Act* and other legislation and University policy relevant to that activity;
- d. Administer or delegate the on-going monitoring and management of allowed conflict;
- e. Document all related matters and maintain records;
- f. Refer unresolved matters to a conflict review officer appropriately; and
- g. Keep senior officers of the University appropriately apprised.

In all instances of conflict involving research, the disclosure form should be submitted to the individual's reporting officer who will then consult with the Dean, Vice-President (Research) and Office of Faculty and Staff Relations as appropriate.

4. Referral Process

- a. In the case of conflict of commitment, it is expected that the reporting individual and the reporting officer will come to an agreement; however, in the event that this is not possible, the position of the reporting officer is final and will stand as the University's position on the matter.
- b. In the case of conflict of interest, the reporting individual and reporting officer need to first agree on whether the conflict considerations warrant an allowed conflict or not and, where applicable, on the method by which an allowed conflict is to be monitored and managed. If agreement cannot be reached, the matter is to be referred by the reporting officer to a conflict review officer or **conflict review committee**.
- c. The conflict review officer or conflict review committee will work with the reporting individual and reporting officer in an effort to reach an agreeable outcome and will ensure documentation of any outcome in a memorandum of agreement in the specified form. If an agreeable outcome cannot be reached, the conflict review officer or conflict review committee will render a decision which shall be final and binding.

5. Conflict Review Committee Membership

- a. For conflict involving research activity:
 - i. Chair, appointed by the Vice-President (Research);
 - ii. One representative of the Research Services Office;
 - iii. One academic staff member, appointed by the Vice-President (Research); and
 - iv. Two members-at-large, appointed by the Provost and Vice-President (Academic).

Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

- b. For conflict involving non-research activity:
 - i. Chair, appointed by the Provost and Vice-President (Academic);
 - ii. One staff member appointed by the Vice-Provost and Associate Vice-President (Human Resources); and
 - iii. Two members-at-large, appointed by the Vice-Provost and Associate Vice-President (Human Resources).

Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

Procedure - Receipt and Acceptance of Gifts and Event Invitations

For the purpose of this Procedure, Gifts and Events do not include:

- normal and nominal Gifts and Event invitations between friends, where unrelated to the Representative's duties or position with the University;
- Gifts accepted by a Representative on behalf of the University; or
- attendance at social Events if the social Event is sponsored by a charitable foundation, a not-for profit organization, the Governor General of Canada, a provincial Lieutenant Governor, any Canada federal, provincial, municipal or regional government or any member of any such government, or a consul or ambassador of a foreign country.

The exception for social Events sponsored by a not-for-profit organization does not apply to not-for-profit organizations constituted to serve management, union, or professional interests, or those having a majority of members that are profit-seeking enterprises or are representatives of profit-seeking enterprises.

Any Representative who is uncertain if acceptance of a Gift or an Event Invitation is appropriate should contact their Dean, Vice-President, the Provost or the President. The President should contact the Chair of the Board of Governors.

If there is uncertainty as to the value of a Gift or an Event, the Vice-President (Finance & Administration) shall have the authority to determine its value.

1. Acceptance of Gifts

- a. Representatives must not accept any Gift directly or indirectly connected with the performance of their University duties or by virtue of their position if the acceptance of the Gift creates a conflict of interest or the perception of a conflict of interest. Gifts which are not expected to create a conflict of interest are those received as:
 - i. a token received as part of reasonable protocol;
 - ii. a social obligation;
 - iii. a cultural practice;
 - iv. a normal exchange of hospitality between two persons doing business together;
or
 - v. incident for participating in a public Event.
- b. Gifts cannot be in the form of cash or cash equivalents.

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- c. Representatives must exercise reasonable discretion in determining whether the acceptance of any Gift is appropriate. A Representative must never solicit a Gift in connection with their position or duties.
 - d. The maximum cash value of any one Gift that a Representative may accept is \$250.00, not exceeding \$500.00 per calendar year received from a single source.
 - e. If a Gift is also offered to a spouse, adult interdependent partner or minor child in their capacity as a spouse, adult interdependent partner or minor child of a University Representative, the same considerations apply as if the Gift was given to the Representative directly.
 - f. A Representative may seek an exemption, in writing, from any maximum valuation set out in this Procedure from their Dean, Vice-President, the Provost or the President. The President may seek an exemption in writing from the Chair of the Board of Governors. An exemption may be sought any time before or within a reasonable time after accepting a Gift. The party determining whether or not to grant an exemption will act reasonably in the circumstances and will consider the best interests of the University in making a determination. An exemption will not be allowed where there is an actual or perceived conflict of interest or where acceptance of the Gift would be contrary to the principles of this Code. Any exemption granted will be made in writing.
 - g. Should any Gift be accepted of which the cash value exceeds any maximum valuation, and there is no exemption approved in writing, the Gift should be returned to the party who offered it as soon as practical. If returning the Gift is not possible, or would be socially or culturally unacceptable, the Gift must be surrendered to the Vice-President (Finance and Administration) and become the property of the University of Alberta.

2. Acceptance of Invitations and Attending Events

- a. Representatives must not accept any invitation to an Event, or attend any Event, if the acceptance or attendance creates a conflict of interest or the perception of a conflict of interest. Events which are not expected to create a conflict of interest include those Events:
 - i. where a significant cross-section of Representatives have been invited;
 - ii. where the Representative pays for their own food, beverages, and all other expenses; or
 - iii. attended as an incident of the social obligations that normally accompany the Representative's position at the University.
- b. Representatives must exercise reasonable discretion in determining whether the acceptance of any invitation to or attendance at any Event is appropriate.
- c. The maximum cash value of attending an Event that a Representative has been invited to, inclusive of any food and beverage, is:
 - i. for the President, Vice Presidents, Associate Vice-Presidents, Deans, Vice-Provosts, Deputy Provosts, or General Counsel:
 - a. \$1,000.00 per Event, not exceeding \$2,000.00 per calendar year received from a single source, if the Event invitation is from a donor or Friend of the University; or
 - b. \$500.00 per Event, not exceeding \$500.00 per calendar year received from a single source, if the Event invitation is from any person other than a donor or Friend of the University.
 - ii. for any other Representative:
 - a. \$500.00 per Event, not exceeding \$500.00 per calendar year received from a single source.

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- d. Notwithstanding the above, if a Representative accepts an invitation to speak or participate in an active role at a conference, seminar, workshop, panel, or other similar engagement, and the Representative is attending in their role as a University employee or participation relates to their related academic activities, then the total cash value of attending the engagement, inclusive of all transportation, hospitality, accommodation, registration, food and beverage, and related incidentals must be reasonable in the circumstances and shall not exceed a maximum cash value of \$8,000 per engagement or \$16,000 per calendar year for engagements from a single source. The cash value of these engagements will be calculated and considered separately from other Event invitations.
 - e. If the invitation to attend an Event is also extended to a spouse, adult interdependent partner or minor child, the total cash value of all tickets received are to be taken into account.
 - f. If a Representative is invited to an Event at which the total cash value of attendance, inclusive of any food and beverage, exceeds any maximum cash value, the Representative may seek an exemption in writing from their Dean, Vice-President, the Provost or the President. The President may seek an exemption in writing from the Chair of the Board of Governors. The party determining whether or not to grant an exemption will act reasonably in the circumstances and will consider the best interests of the University in making a determination. An exemption will not be allowed where there is an actual or perceived conflict of interest or where acceptance of the invitation or attendance at the Event would be contrary to the principles of this Code. Any exemption granted will be made in writing.
 - g. Should a Representative attend an Event at which the total cash value of attending exceeds any maximum valuation set out in this Code, and there is no exemption approved in writing, the cash value of attending the Event, inclusive of any food and beverage, which exceeds the maximum valuation under this Code will be reimbursed by the Representative to the person/entity who originally covered the cost.

F. Managing Conflicts of Interest: Concurrent Activities and Supplementary Professional Activities

Requirement to Report Concurrent Activity

A Representative involved in a concurrent appointment, business, undertaking, employment, or self-employment (collectively “concurrent activity”) other than their position with the University may be in a potential conflict. Representatives are therefore required to report all concurrent activity, subject to the pre-approvals below, so that the activity may be assessed for a conflict and where appropriate, managed. Reports must be made in accordance with Section ‘E’. Where a current Representative is considering engaging in a new concurrent activity, the Representative must seek prior approval of the University before doing so.

Some Representatives’ concurrent activity may be the kind of activity defined as “Supplementary Professional Activities” (or “SPA”) in their collective agreement. In the case of an appointment, business, undertaking, employment or self-employment meeting the definition of SPA within a collective agreement, the Representative’s obligations in respect of that activity will be wholly as set out in their collective agreement and will not need to be additionally reported under Section ‘E’. Collective agreements with SPA obligations are discussed further below.

Where a Representative subject to a collective agreement engages in concurrent activity that does not meet the definition of “SPA” under their collective agreement, or where the concurrent activity is not otherwise

contemplated within their collective agreement, the Representative must report the concurrent activity unless the activity is pre-approved as below.

The requirement to report includes where a Representative receives income through a research grant where the research work:

- i. is not administered by the University through the Research Services Office; and
- ii. the research work does not meet the definition of Supplementary Professional Activity in the Representative's collective agreement.

Pre-Approved Concurrent Activity

The University deems some concurrent activity to be pre-approved. In those situations, the Representative is not required to report the activity unless it otherwise creates an actual or perceived conflict of interest.

Pre-approval is deemed for:

- a. Representatives engaging in concurrent activity for which the Representative will not receive nor be entitled to receive remuneration.
- b. Students of the University who are also employees of the University, where the concurrent activity is in the retail, hospitality, or service industry.
- c. Academic staff who do not hold a full-time position at the University, where:
 - i. their position at the University is unpaid;
 - ii. the academic staff member teaches no more than two courses per semester at the University;
 - iii. the concurrent activity is with another post-secondary institution; or
 - iv. the concurrent activity requires the academic staff member to be a member of a specified professional association which has a code of conduct and can discipline members for a breach of their code. The "specified professional associations" must be approved by the President or President's delegate. The associations currently approved are listed at Appendix A.
- d. Academic staff, whether full-time or part-time at the University, where the University knows at the time of their hiring or appointment that:
 - i. the academic staff member is being concurrently or jointly hired or appointed to the concurrent activity at another organization; or
 - ii. the academic staff member is already engaged in the concurrent activity at another organization.
- e. Non-student employees of the University who are members of the Non-Academic Staff Association or who are support staff excluded from the Non-Academic Staff Association, whose concurrent activity requires 20 hours or less per week, the required hours of which are not scheduled during the Representative's normal working hours at the University.

In limited circumstances, the manner in which concurrent activity may need to be reported and approved is addressed by external documentation. These situations are where:

- a. the Representative's concurrent activity meets the definition of Supplementary Professional Activity within their collective agreement, as the obligations relating to the reporting and approval of the activity will be wholly governed by their collective agreement; or
- b. the Representative is the President, as the President's obligations relating to the reporting and approval of concurrent activity are governed by the *Conflicts of Interest Act* and the requirement at Section I-2 of this Code.

Collective Agreements with SPA Obligations

The University's collective agreements provide direction for certain Representatives with respect to professional development through activity which is supplementary to their primary obligations to the University (known as 'SPA'). The types of Representatives with SPA obligations, and the nature of those obligations, are excerpted directly from the relevant collective agreements below.

The University endeavours to include the most recent excerpts from its collective agreements regarding SPA in this Code. However, because collective agreements frequently evolve through bargaining, the excerpts provided may at times be out of date. In the case of a discrepancy between an included excerpt and a collective agreement, the collective agreement will govern. Representatives governed by a collective agreement have a responsibility to know its contents and how it affects them in their role with the University.

Collective agreements are posted on the Human Resource Services website:
<https://www.ualberta.ca/faculty-and-staff/my-employment/collective-agreements-and-handbooks>

1. Faculty - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/faculty-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

Scope and context of SPA

- 8.01 A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.
- 8.02 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.
- 8.03 Such SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and research to remain professionally relevant. Routine, repetitive and trivial SPA are discouraged.

Authorization of SPA

- 8.04 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Required SPA

[...]

- 8.06 Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 8.11.

Definition of SPA

- 8.07 Without restricting the generality of the term SPA, this category shall include any of the following:
- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g. summer session at another university;
 - b) consulting;
 - c) personal services contracts;
 - d) private practice of the staff member's profession, e.g. medicine, dentistry, law, etc.
- 8.08 SPA may be categorized as major or minor in scope. Each Faculty Council shall decide what constitutes major SPA but all proposals to teach at another institution shall be considered major SPA.

Approval of SPA

- 8.09 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.
- 8.10 If there is a dispute with respect to a staff members SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

Conditions

- 8.11 The authority and approval of SPA is subject to the following conditions:
- a) The staff member shall not compete unfairly with professionals outside the University.
 - b) The SPA shall not infringe upon the University's conflict of interest guidelines.
 - c) The SPA shall conform with regulations governing the use of University facilities and staff.
 - d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and withstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.
 - e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

Faculty regulations

8.20 Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:

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

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this agreement to a faculty position on the academic staff of the University in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Faculty Council: The council created by that name in accordance with section 28 of the Post Secondary Learning Act; for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the staff members in the Faculty.

Department: The academic unit of a Faculty, established as such by the Board.

Dean: The chief executive officer of a Faculty.

Department Chair: The chief executive officer of a Department. Responsibilities assigned herein to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no departments.

Board: The Governors of the University of Alberta.

2. Faculty Service Officer Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Faculty Service Officer Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/faculty-service-officer-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

-
- 8.01 A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.
- 8.02 Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. These shall be duties which are performed outside regular office hours or while on vacation, e.g. lecturing in evening session, lecturing in Extension non-credit courses, etc. Requests to assume additional responsibilities shall be submitted, in writing, to the **Dean**.
- 8.03 A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, whether during regular University office hours or not, shall so inform his or her immediate supervisor. If the proposed activities are during regular office hours, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.
- 8.04 Care must be taken by the staff member that the outside activities are not in conflict of interest with the University duties.
[...]
- 9.17 During leave, the staff member shall not undertake alternative employment without the advance written approval of the Provost.

Relevant Definitions (Article 1)

Faculty Service Officer: Group of academic staff who assist and collaborate with faculty members in teaching and research process. Such staff members will normally have a post-graduate degree in the particular discipline to which they are attached. The tasks they are assigned may include an administrative component but this will not be a major component of the assignment. A position in this category shall be established under the same procedures as those used for faculty positions and staff members shall be counted with faculty in the staff count.

Staff Member: A person who has been appointed to a faculty service officer position on the academic staff of the University in which the person has been or may be granted a continuing appointment; this term includes both full time and part time staff who hold such positions.

Dean: The chief executive officer of a Faculty.

3. *Library - Supplementary Professional Activities (SPA)*

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Librarian Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/librarian-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities

Scope, context and authorization of supplementary professional activity

-
- 8.01 A staff member has a primary obligation to fulfil University responsibilities. A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, shall so inform the Chief Librarian. If the proposed activities are during regular office hours, the permission of the Supervisor and Chief Librarian, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the Chief Librarian, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.
- 8.02 Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. Requests to assume such additional responsibilities must be approved by the Supervisor and the Chief Librarian, in writing.
- 8.03 Such professional activity shall represent an integral part of the responsibility to relate theory to professional practice, thereby enabling professional practice to remain relevant.
- 8.04 Care must be taken by the staff member that the supplementary activities are not a conflict of interest with the University duties and do not prevent, hinder or unduly interfere with the staff member's primary responsibilities.
- 8.05 If there is a dispute with respect to a staff member's supplementary professional activity, the staff member shall have recourse to the Chief Librarian and the Provost, in that order. The decision of the Provost shall be final and binding.

Definition of supplementary professional activity

- 8.06 Without restricting the generality of the term supplementary professional activities, this category shall include any of the following:
- a) employment in any capacity by another employer; including the carrying out of teaching duties;
 - b) consulting;
 - c) personal services contracts.

Conditions

- 8.07 The authority and approval of supplementary professional activity is subject to the following conditions:
- a) The staff member shall not compete unfairly with professionals outside the University.
 - b) The supplementary professional activity shall not infringe upon the University's conflict of interest guidelines. (GFC Policy Manual Section 120.3)
 - c) The supplementary professional activity shall conform with regulations governing the use of University facilities and staff. (Research Policies and Services Manual)
 - d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such supplementary professional activity by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those supplementary professional activity has not been negotiated by or approved by the University.
 - e) When engaged in supplementary professional activity, a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold

himself or herself to be an agent of the University when engaged in supplementary professional activity.

Relevant Definitions (Article 1)

Staff Member: A person who has a degree from an accredited graduate program in library and/or information studies, or an equivalent program, who has been appointed to a librarian position on the academic staff of the University of Alberta, in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Chief Librarian: The chief executive officer of the University Libraries.

Supervisor: The Administrative Librarian to whom the staff member reports and is accountable, or the Chief Librarian, or another staff member who is delegated that responsibility on behalf of the Administrative Librarian. At least annually, the Chief Librarian shall provide to the Association a complete list of staff members and the Supervisor to whom each reports. When a staff member reports to more than one person, the Supervisor shall consult with the other person in making evaluations.

Provost: The Provost and Vice President (Academic) of the University.

4. Academic Teaching Staff – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Academic Teaching Staff Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/academic-teaching-staff-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

8.1 This Article shall apply to full-time staff members with Career Status and Term 12 Status appointments.

Scope and Context of SPA

8.2 A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

8.3 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.4 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

8.5 Without restricting the generality of the term SPA, this category shall include any of the following:

- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
- b) consulting;
- c) personal services contract; or
- d) private practice of the staff member's profession, e.g., dentistry, law, medicine, nursing, etc.

Approval of SPA

- 8.6 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.
- 8.7 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.
- 8.8 The conditions governing SPA are set out in Appendix D.

[...]

APPENDIX D: Conditions for Supplementary Professional Activities (SPA)

1. The authority and approval of SPA is subject to the following conditions:
- The staff member shall not compete unfairly with professionals outside the University.
 - The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time.
 - The SPA shall conform with the University's related policies, procedures and protocols related to the use of University facilities and staff, as amended from time to time.
 - The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.
 - When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

4. SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and/or teaching-related responsibilities to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.

Required SPA

[...]

6. Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.

Major SPA

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

[...]

Faculty Regulations

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

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this Agreement to a position with teaching and/or teaching-related responsibilities (in accordance with Article 7) on the academic staff of the University (where teaching shall involve University credit courses) and where the funding source permits payment of such responsibilities

Department Chair: The administrative head of a Department reporting to the Dean. Responsibilities assigned in this Agreement to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no Departments.

Dean: A University employee who “has general supervision over and direction of the academic work and instructional staff of the Faculty and of the officers and employees employed in connection with that work, and has the other powers, duties and functions that are assigned to the dean by the president” pursuant to Section 21(2) of the Post-Secondary Learning Act (Alberta).

Provost: The Provost and Vice President (Academic) of the University. The Provost is the Chief Operating Officer and Senior Vice President.

Faculty Council: The council created by that name pursuant to Section 28(2) of the Post-Secondary Learning Act (Alberta); for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.

5. Temporary Administrative and Professional Staff (TAPS) – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Temporary Administrative and Professional Staff Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/temporary-administrative-and-professional-staff-agreement.pdf>

Relevant Excerpts

Article 9: Supplementary Professional Activities (SPA)

All Staff Members

9.01 This Article shall apply to all full-time staff members.

Scope and Context of SPA

9.02 A staff member who is a full-time employee has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

9.03 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

9.04 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

9.05 Without restricting the generality of the term SPA, this category shall include any of the following:

- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
- b) consulting;
- c) personal services contract;
- d) private practice of the staff member's profession, e.g., medicine, nursing, law, etc.

Approval of SPA

9.06 A staff member shall obtain written approval of the Supervisor prior to undertaking major SPA. Prior to approving SPA, the Supervisor shall ensure that primary University responsibilities will be performed satisfactorily.

9.07 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Vice-President, in that order. The decision of the Vice-President shall be final and binding.

9.08 The conditions governing SPA are set out in Appendix D.

[...]

Appendix D: Conditions for Supplementary Professional Activities (SPA)

1. SPA at the University

1.1 Under certain circumstances, a staff member may accept responsibilities at the University in addition to regular responsibilities for which the staff member may receive remuneration additional to regular salary.

1.2 The Supervisor and the Vice-President shall approve requests for approval of such SPA prior to the assumption of the responsibilities.

1.3 SPA shall be performed outside regular office hours unless otherwise approved by the Vice-President.

2. SPA Outside the University

2.1 A staff member who proposed to engage SPA for another employer or as a consultant or self employed professional shall inform the Supervisor in writing of such intention.

-
- 2.2 The written permission of the Supervisor is required if
- a) the activities will take place during regular University office hours; or
 - b) the activities involve University staff, students or the use of University facilities.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed to a position on the academic staff of the University for a fixed term. This term includes all the categories enumerated in Article 6.03.

Supervisor: The person to whom a staff member reports

6. Administrative and Professional Officers – Supplementary Professional Activity

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Administrative and Professional Officer Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/administrative-and-professional-officer-agreement.pdf>

Relevant Excerpts

Supplementary Professional Activity Outside the University

- 8.09 A staff member who proposes to engage in supplementary professional activity for another employer or as a consultant or self-employed professional shall inform the Supervisor in writing of such intention.
- 8.10 The written permission of the Supervisor is required if:
- a) the activities will take place during regular University office hours; or
 - b) the activities involve University staff, students or the use of University facilities.
- 8.11 If the staff member expects to involve students, staff or the use of University facilities, the staff member may be required by the Vice-President to enter into a contract with the University.
- 8.12 A staff member shall not engage in supplementary professional activities which involve a conflict of interest or conflict of commitment with responsibilities to the University.

Relevant Definitions (Article 1)

Staff Member and APO: “Staff member” and “APO” means an Administrative Professional Officer (APO) who has been designated as continuing academic staff by the University of Alberta. An APO is a manager or other professional who provides leadership, strategic advice and direction in the organization; and is accountable for planning, negotiating, problem solving, risk assessment and prevention, and/or operational oversight of resources. An APO shall normally require an academic degree; professional designation or equivalent related experience.

Vice-President: A senior administrator with a number of reporting units within the University. Where the term “Vice-President” is used in the Agreement, unless otherwise stated, it means the specific Vice-President to whom the other administrative officials named are accountable unless otherwise specified.

G. Interaction Between the Code and Collective Agreements

The University's various collective agreements may contain provisions relating to matters this Code purports to apply to. Nothing in this Code is intended to affect the operation of any collective agreement. In the case of a discrepancy or inconsistency between this Code and a collective agreement, the terms of the collective agreement will govern.

Representatives of the University governed by a collective agreement have a responsibility to know its content and how it affects them in their role with the University.

H. Breaches of the Code

Any breach of any section of this Code by a Representative, including a breach of the conflict of interest provisions or the concurrent employment provisions, is a violation of the University's ethical standards. Individuals reporting an actual or alleged breach of any part of this Code should therefore disclose these complaints in the manner specified by Section 'D'.

Upon receiving an allegation that a Representative has breached the Code, if the complaint is credible, the authority receiving the complaint will notify the Respondent, and will either investigate the matter or will refer the matter to another appropriate authority to investigate. The investigating authority will make factual findings and as part of the investigation will give the Respondent a reasonable opportunity to respond. The investigating authority will then prepare a written report including a determination as to whether or not the Code has been breached. If the Code is determined to have been breached, the Respondent may seek to have the findings reviewed within a reasonable time. Any review process will occur in writing. A breach of the Code is a disciplinable event that may result in corrective action being taken against the Representative.

Complaints, Responses, Investigations and Discipline for Representatives Subject to a Collective Agreement

Notwithstanding the above, where an allegation is to be made against a Representative who is subject to a collective agreement, the disclosure of that complaint, and any response, investigation, and discipline relating to the complaint, will be as provided for in the Representative's collective agreement to the extent it differs or is inconsistent with this Code. If the Representative's collective agreement is silent, the procedures in this Code shall govern.

Because collective agreements frequently evolve through bargaining, and because collective agreement provisions relating to complaints, responses, investigations and discipline may be thorough and numerous, this Code does not attempt to provide excerpts of all responsive collective agreement language. Instead, Representatives are directed to their respective collective agreement:

Type of Representative	Name and link to relevant collective agreement (or policy)	Relevant Articles
Faculty	Faculty Agreement – July 2017	7, 9, 12-17, 27-29
Faculty Service Officers	Faculty Service Officer Agreement – July 2017	7, 9, 12-17, 27-29
Librarians	Librarian Agreement - July 2017	7, 9, 12-17, 27-29

Type of Representative	Name and link to relevant collective agreement (or policy)	Relevant Articles
Academic Teaching Staff	Academic Teaching Staff Agreement - July 2017	7, 9-15, 27
Temporary Administrative and Professional Staff	Temporary Administrative and Professional Staff (TAPS) Agreement – July 2017	8, 12-15, 24-26
Administrative and Professional Officers	Administrative and Professional Officer (APO) Agreement – July 2017	8, 12-16, 27-29
Trust/Research Academic Staff	Trust Research Academic Staff (TRAS) Agreement - July 2017	7, 12-16, 27-29
Non-Academic Staff (NASA)	Non-Academic Students Association (NASA) Agreement - June 2016 to March 2019	15, 18, 21
Graduate Students	GSA and Board of Governors Collective Agreement - Sept 2016 to Aug 2018	12, 23
Post-Doctoral Fellows	Postdoctoral Fellows Discipline Procedure <small>(note: Collective agreement currently being negotiated. Until then, discipline procedure is per policy).</small>	As per Procedure
Management and Professional Staff (MAPS)	Code of Conduct: Employees' Obligations Respecting Conflict of Interest	As per Code
Any other Representative not covered by a collective agreement	Code of Conduct: Employees' Obligations Respecting Conflict of Interest	As per Code

Note: The list of relevant articles is provided as a courtesy and may not be exhaustive.

I. Obligations Specific to the President

1. In addition to the obligations owed elsewhere in this Code, the President:
 - a. Must not take part in a decision in the course of carrying out their office or powers knowing that the decision might further their own private interest, the private interest of their own minor or adult child, or the private interest of any person directly associated with them, pursuant to Section 23.925(1) of the Conflicts of Interest Act;
 - b. Must not use their office or powers to influence or to seek to influence a decision to be made by or on behalf of the Crown or a public agency to further their own private interest, the private interest of their minor child, or the private interest of any person directly associated with them, or to improperly further any other person's private interest, pursuant to Section 23.925(2) of the Conflicts of Interest Act;
 - c. Must not use or communicate information not available to the general public that was gained by them in the course of carrying out their office or powers to further or seek to further a private interest of their own, or any other person's private interest, pursuant to Section 23.925(3) of the *Conflicts of Interest Act*; and

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- d. Must not fail to appropriately and adequately disclose a real or apparent conflict of interest in the manner specified in this Code, pursuant to Section 23.925(4) of the *Conflicts of Interest Act*.
2. The President may not be involved in a concurrent appointment, business, undertaking, employment, or self-employment, other than their role as President of the University, without the written approval of the Ethics Commissioner pursuant to Section 23.926 of the *Conflicts of Interest Act*. The President must first report the concurrent activity in accordance with Section 'E' and obtain a determination from the University that the activity is not a conflict, or is an allowed conflict, before applying to the Ethics Commissioner for approval. The President may not engage in the concurrent activity until written approval from the Ethics Commissioner is obtained.

TRANSITIONAL: If the President is continuing under the same contract, agreement, or appointment with the University that was in effect as of December 15, 2017, the obligations specific to the President regarding concurrent activities as described in paragraph 2 above do not apply to the President until the earlier of:

- i. December 15, 2019, or
- ii. The date on which the President renews or extends their agreement, enters into a new agreement, or is re-appointed to continue as the President.

If the President renews, extends, enters a new agreement or is re-appointed as the President on any date after December 15, 2017, the obligations regarding concurrent activities as described in paragraph 2 above apply as of that date, subject to any other time periods required by the *Conflicts of Interest Act*.

The President may consult Section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional provisions.

3. The President is a designated senior official pursuant to Order in Council 085/2018 and the *Conflicts of Interest Act*. The President has a responsibility to know their obligations under that Act. The President's obligations as a designated senior official include, but are not limited to, the following:

Restrictions on Holdings (s. 23.93)

The President, within 60 days of the obligations as a designated senior official taking effect, must not own or have a beneficial interest in any publicly-traded securities, subject to the following exceptions:

- The securities are held in a blind trust which meets the criteria of the *Conflicts of Interest Act* and has been approved by the Ethics Commissioner;
- The securities are held in an investment arrangement which meets the criteria of the *Conflicts of Interest Act* and has been approved by the Ethics Commissioner;
- Prior to the expiry of the 60-day period, the President applied to the Ethics Commissioner for approval to retain the ownership or beneficial interest in the securities and the Ethics Commissioner granted approval or the Ethics Commissioner granted conditional approval and the President has taken all steps directed by the Ethics Commissioner with respect to the disposition of the securities; or

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- After the expiry of the 60-day period, the President acquires the ownership or beneficial interest in the securities with the prior approval of the Ethics Commissioner.

If the President acquires the ownership or beneficial interest in publicly-traded securities by gift or inheritance after the obligations as a designated senior official take effect, the President has 60 days upon receiving the securities to dispose of them or meet one of the above exceptions.

Disclosure and Filing Requirements (ss. 23.931-23.932)

The President, within 60 days of the obligations as a designated senior official taking effect, must:

- File a disclosure statement with the Ethics Commissioner in the form and manner specified; and
- File a return (relating to persons directly associated with the President) with the Ethics Commissioner in the form and manner specified.

The President must also observe the following ongoing obligations:

- In each subsequent year from the filing of the first disclosure statement, file a disclosure statement with the Ethics Commissioner at the time specified by the Ethics Commissioner;
- Within 30 days after any material change to the information contained in a current disclosure statement, file with the Ethics Commissioner an amending disclosure statement, setting out the changes;
- Within 30 days after any material change to the information contained in a current return, file another return with the Ethics Commissioner; and
- Within 30 days of ceasing to be a designated senior official, file a return with the Ethics Commissioner.

Failing to file or knowingly filing false or misleading information is subject to reporting and administrative penalties under section 23.934 of the *Conflicts of Interest Act*.

Post-Employment Restrictions (s. 23.927-23.939)

The President, upon ceasing to be a designated senior official, must observe a number of post-employment restrictions. These restrictions include:

- For a period of 12 months from the last day they held the position of President, the President shall not:
 - lobby any public office holder, as those terms are defined in the *Lobbyists Act*; and
 - act on a commercial basis or make representations on their own behalf or on behalf of any other person in connection with any ongoing matter in which the

President, while acting as President, directly acted for or advised a department or public agency involved in the matter.

- For a period of 12 months from the last day the President had a direct and significant official dealing with a department or public agency, the President shall not:
 - make representations with respect to a contract with or benefit from that department or public agency; or
 - solicit or accept on their own behalf a contract or benefit from that department or public agency.
- For a period of 12 months from the last day the President had a direct and significant official dealing with an individual, organization, board of directors or equivalent body of an organization, the President shall not:
 - accept employment with that individual or organization or an appointment to the board of directors or equivalent body.

Notwithstanding the above:

- Nothing restricts the (former) President from being appointed to the board of directors or a governing body of another public agency; and
- Nothing restricts the (former) President from accepting employment with a department of the public service or a public agency in accordance with Part 1 of the *Public Service Act*.

The (former) President may apply to the Ethics Commissioner for a reduction or waiver of any time period for the post-employment restrictions, pursuant to section 23.938 of the *Conflicts of Interest Act*.

Contravention of the post-employment restrictions is an offence under section 23.939 of the *Conflicts of Interest Act* and may be subject to a fine up to \$50,000.

TRANSITIONAL: If the President is continuing under the same contract, agreement, or appointment with the University that was in effect as of April 4, 2018, the obligations specific to the President as a designated senior official as described in paragraph 3 above do not apply to the President until the earlier of:

- i. April 4, 2020, or
- ii. The date on which the President renews or extends their agreement, enters into a new agreement, or is re-appointed to continue as the President.

If the President renews, extends, enters a new agreement or is re-appointed as the President on any date after April 4, 2018, the obligations as a designated senior official described in paragraph 3 above apply as of that date, subject to any other time periods required by the *Conflicts of Interest Act*.

The President may consult Section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional provisions.

J. Notice Period & Amendments

1. This Code will be submitted to the Ethics Commissioner for review pursuant to Section 23.922 of the *Conflicts of Interest Act*.
2. Providing approval has been received from the Ethics Commissioner in accordance with the *Conflicts of Interest Act*, this Code will be made public on the University of Alberta website on or before April 30, 2019.
3. The period from the date the Code is made public, until June 30, 2019 will be the public notice period.
4. This Code will be implemented on July 1, 2019.
5. The University reserves the right to amend this Code at any time, including but not limited to:
 - a. on the advice or demand of the Office of the Ethics Commissioner of Alberta; or
 - b. where required to ensure compliance with any changes to the *Conflicts of Interest Act*, the *Post-Secondary Learning Act*, or any other applicable legislation or order-in council; or
 - c. where changes are made to University of Alberta policies and procedures through the appropriate internal approval processes and/or to collective agreements through normal negotiation processes.
6. Any amendment or replacement of this Code will be submitted to the Ethics Commissioner for approval in a manner pursuant to Section 23.923(2) of the *Conflicts of Interest Act* and any other applicable legislation.

Appendix A: Specified Professional Associations Approved by the President

The University deems some concurrent activity to be pre-approved. In those situations, the Representative is not required to report the activity unless it otherwise creates an actual or perceived conflict of interest.

Where the Representative is an academic staff member who does not hold a full-time position at the University, and the concurrent activity requires the Representative to be a member of a specified professional association which has a code of conduct and can discipline members for a breach of that code, the concurrent activity is deemed pre-approved if the membership required is with one of the following professional associations which have been approved by the President (or the President's delegate):

- Alberta Association of Architects
- Alberta Association of Landscape Architects
- Alberta College of Pharmacy
- Alberta College of Social Workers (ACSW)
- Alberta Institute of Agrologists (AIA)
- Alberta Medical Association
- Alberta Professional Planners Institute (APPI)
- Alberta Society of Professional Biologists (ASPB)
- Alberta Teacher's Association
- Alberta Urban Municipal Association (AUMA)
- Alberta Veterinary Medical Association
- American Geophysical Union
- American Industrial Hygiene Association (AIHA)
- American Psychological Association
- Apprenticeship and Industry Training (AIT)
- Association for Applied Psychophysiology and Biofeedback
- Association for Applied Sport Psychology
- Association of Change Management Professionals (ACMP)
- Association of Professional Engineers and Geoscientists of Alberta (APEGA)
- Association of Science & Engineering Technology Professionals of Alberta (ASET)
- Association of the Chemical Profession of Alberta
- Board of Canadian Registered Safety Professionals (BCRSP)
- Canadian Association of Information Technology Professionals
- Canadian Association of Physicists
- Canadian Athletic Therapists Association
- Canadian Bar Association (CBA)
- Canadian Registration Board of Occupational Hygienists (CRBOH)
- Canadian Institute of Actuaries
- Canadian Institute of Management (CIM)
- Canadian Institute of Planners (CIP)
- Canadian Institute of Quantity Surveyors (CIQS)
- Canadian Medical Protective Agency (CMPA)
- Canadian Physiotherapy Association
- Canadian Professionals in Human Resources Alberta
- Canadian Psychological Association
- Canadian Society of Safety Engineering (CSSE)
- Chartered Financial Analysts Institute
- Chartered Professional Accountants (CPA) Alberta
- College and Association of Registered Nurses of Alberta (CARNA)
- College of Alberta Psychologists
- College of Alberta School Superintendents

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- College of Dietitians of Alberta
 - College of Physicians and Surgeons of Alberta (CPSA)
 - EcoCanada
 - Global Association of Risk Professionals (GARP)
 - Human Resources Institute of Alberta (HRIA)
 - International Institute of Business Analysis (IIBA)
 - International Society for Neurofeedback and Research
 - Law Society of any province or territory in Canada
 - Local Government Administrators Association (LGAA)
 - Professional Risk Managers' International Association
 - Project Management Institute (PMI)
 - Project Management Professional (PMP)
 - Royal College of Physician and Surgeons of Canada (RCPSC)
 - Society of Actuaries
 - Society of Local Government Managers (SLGM)
 - Statistical Society of Canada
 - Supply Chain Management Association (SCMA)

The University endeavours to include the most recent list of approved professional associations in this Appendix. However, the President (or the President's delegate) may add or remove professional associations from this list from time to time. In the case of a discrepancy between this Appendix A and the current list of approved professional associations, the current list will govern.



**Code of Conduct:
Employees' Obligations Respecting
Conflicts of Interest**

5th Submission (Annotated)

January 16, 2019

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A. Preamble

The highest Standards of Ethical Conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest Standards of Ethical Conduct.

Much of the substantive language in this Code has been copied from existing University policies, procedures and collective agreements.

Commented [A1]: Source: Ethical Conduct and Safe Disclosure Policy

B. Application of this Code

This *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* (the "Code") applies in respect of all Representatives of the University, including the President of the University when acting as an Employee or meeting their obligations as a senior official or designated senior official under the *Conflicts of Interest Act*, but does not include:

- Members of the Board of Governors or the President of the University when acting as a Board Member, who are governed by the separate *Code of Conduct: Board of Governors*;
- Non-employees, including professors emeriti, visiting academics, volunteers, contractors, or others acting on behalf of the University. The obligations and standards of conduct owed by these persons are contained in the individual policies and procedures provided by the University.

Together, the *Code of Conduct: Employees' Obligations Respecting Conflicts of Interest* and the *Code of Conduct: Board Members' Obligations Respecting Conflicts of Interest* work together to exemplify the University's ethical standards, provide individuals with principles to guide their behaviour, and emphasize the importance the University places on the avoidance of real or apparent conflicts of interest. Any questions about the interpretation or operation of this Code may be addressed to the Vice-Provost and Associate Vice-President (Human Resources).

This Code is intended to operate alongside existing collective agreements but does not purport to change any rights or obligations negotiated between the University and any union.

C. Global Definitions

The following definitions apply to all sections of this Code, excepting where a definition is specifically provided as otherwise in a section of this Code, within a collective agreement, or in the Handbook of Terms and Conditions of Employment For Management and Professional Staff (Excluded):

Allowed Conflict: Conflict that can be managed in a way that is compliant with legislation, considers, protects and serves the interests, integrity and reputation of the University, and will withstand the test of reasonable and independent scrutiny.

Board of Governors: The Governors of the University of Alberta as defined in the *Post Secondary Learning Act P-19.5 2003*.

Conflict(s): Conflict of interest, conflict of commitment, or institutional conflict.

Commented [A2]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedures

Conflict of Commitment: A situation whereby the external or personal activities, undertakings or relationships of a person are so demanding or organized in such a manner or are otherwise such that they may interfere with the person's obligations to the University or to others or institutions that are separate from the University but to whom the person owes an obligation because of their relationship to the University.

Conflict of Interest: A situation in which there is or may be perceived to be a divergence between the private financial benefit or financial interest or personal benefit of a person, **family member**, or an **outside party**, and that person's obligations to the University, such that an impartial observer might reasonably question whether related actions to be taken or decisions made by the person would be influenced by consideration of the person's own interests.

Conflict Review Officer: According to those relationships detailed in the disclosure report, the next appropriate senior reporting officer.

Disclosure Report: A report that discloses conflict-type specific considerations relevant to deciding whether a person wishing to proceed with an activity that would or may give rise to conflict should be allowed to undertake that activity.

Family Member: Includes a person's spouse or adult interdependent partner or another individual to whom the person is related by blood, marriage or adoption.

Financial Benefit: The receipt or expectation of anything of monetary value, including pay or salary or other payments for services (e.g. consulting fees or honoraria), equity (shares, options or the like) security or other ownership interests, and intellectual property rights (e.g. patents, copyrights, royalties or carried interests or options related to such rights)

Financial Interest:

(A) Ownership in the form of shares in a privately held company or

(B) Ownership in a publicly traded company in the form of shares with a market value of greater than \$50,000.00 or representing more than 10% of the company's outstanding shares or

(C) Where the person is a member of a board of either a privately held or publicly traded company.

Good Faith (or "Good Faith Disclosure"): A submission of information, that is based on reasonable belief and is not malicious, frivolous or vexatious, to the appropriate University authority.

Institutional Conflict: A situation in which the University, or an institution, has an existing relationship with a party with which the University or the institution proposes to enter into an activity such that an impartial observer might reasonably question whether the existing relationship might prejudice decisions of the University or an institution with respect to the activity.

Office of Administrative Responsibility: The area within University administration, that is ultimately responsible for administering a particular policy and/or procedure.

Outside Party: Includes any corporation, partnership, sole proprietorship or other legal entity organized for the furtherance of a non-University interest (for profit or otherwise) and clients or patients to whom the person or the University provides individual professional services

Personal Benefit: The receipt or expectation of any personal (workplace or otherwise) benefit of a non-monetary value.

President of the University (or "President"): The individual appointed by the Board of Governors to the position of President pursuant to Section 81 of the *Post-Secondary Learning Act*, SA 2003 c P-19.5.

Commented [A3]: Source: Conflict Policy

Commented [A4]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

Commented [A5]: Source: Conflict Policy

Commented [A6]: Source: Ethical Conduct and Safe Disclosure Procedure

Commented [A7]: Source: Conflict Policy

Commented [A8]: Source: Ethical Conduct and Safe Disclosure Procedure

Commented [A9]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

- For greater certainty, the President is the “chief executive officer” of the University for the purposes of the *Conflicts of Interest Act*, as that term is defined at Section 23.92(1)(b) of that Act.
- For greater certainty, the President is both a “senior official” and a “designated senior official” for the purposes of the *Conflicts of Interest Act*, as those terms are respectively defined at Sections 23.92(1)(k) and 23.92(1)(d) of that Act, by designation under Order in Council 085/2018 of the Lieutenant Governor in Council.

Reporting Individual: A person required to report in accordance with this Code.

Reporting Officer: For any person, the holder of the office to whom the person reports or who has supervisory responsibility over the reporting individual. Specifically, for example:

- for a Vice-President, the President.
- for a Deputy Provost or a Vice-Provost, the Provost and Vice-President (Academic).
- for an Assistant or Associate Vice-President, the appropriate Vice President
- for a Dean of a Faculty and the Chief Librarian, the Provost and Vice-President (Academic).
- for an Associate Dean or Vice-Dean, the Dean.
- for a Chair of a Department, the Dean.
- for the Director of an administrative unit or equivalent, the Vice-President responsible for that unit.
- for support staff, the holder of the office to whom the support staff reports or who has supervisory responsibility over the support staff; however, the reporting officer for a support staff will not be another support staff.
- for academic staff of a Faculty with departments, the Chair.
- for academic staff of a Faculty without departments, the Dean.
- for a post-doctoral fellow, the supervisor of the post-doctoral fellow.
- for a graduate student, the student’s supervisor or supervisory committee.
- for a staff member of a centre or institute, the person within the University responsible for that centre or institute.

Representative of the University of Alberta (or “Representative”): Executive officers, faculty, staff, post-doctoral fellows, ~~professors emeriti, visiting academics,~~ student employees and volunteers, ~~contractors when specified in the terms of the contract, members of the Board of Governors, Senate, Alumni council and others, when acting on behalf of the University.~~

Reprisal: Punitive actions taken against a person for making a good faith disclosure, including, but not limited to:

- Disciplinary action
- Termination
- Adversely affecting employment conditions
- A threat to do any of the above

Respondent: A party against whom an allegation has been made.

Safe Disclosure: Individuals are not subject to reprisal for reporting allegations made in good faith.

Commented [A10]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

Commented [A11]: Source: Ethical Conduct and Safe Disclosure Policy

Commented [A12]: Source: Ethical Conduct and Safe Disclosure Procedure

Commented [A13]: Source: Ethical Conduct and Safe Disclosure Policy

Standards of Ethical Conduct: Actions and behaviours which uphold the principles of integrity, respect and accountability, supported by an awareness of and compliance with the Code, relevant policies and procedures, collective agreements, applicable legislation and professional standards.

D. Ethical Conduct and Impartiality

Overview

The highest Standards of Ethical Conduct are essential to the success of any great institution. Academic freedom, open inquiry and the pursuit of truth, which form the foundation of an institution of higher learning, depend on a shared commitment to the highest Standards of Ethical Conduct.

Whether involved in research, teaching or the governance and administration of the organization, all Representatives of the University of Alberta have an obligation to conduct themselves in a manner that is consistent with the University's stated values regarding ethical conduct.

As part of this obligation, and to protect the University and individuals from harm, Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards.

Purpose

- Describe the expectations concerning ethical conduct for Representatives of the University
- Confirm the rights of individuals in reporting conduct that does not meet the University's standards
- Confirm the University's obligation to protect person(s) making a **good faith disclosure** from **reprisal**
- Confirm the University's obligation to protect the rights of the person(s) against whom allegations are made
- To outline the procedures individuals should take when reporting conduct that does not meet the University's ethical standards

Policy

1. Standards of Ethical Conduct

All Representatives of the University of Alberta are prohibited from acting in self-interest or furthering their private interests by virtue of their position or through carrying out their duties and shall maintain the highest Standards of Ethical Conduct.

2. Impartiality

Representatives are required to conduct themselves impartially in fulfilling their University duties. This means Representatives must discharge their duties in a non-partisan manner so as to ensure that public confidence and trust remain in the Representative and the University as a whole. Impartiality requires compliance with Section D-1 and the other provisions of this Code but is not intended to limit the academic freedom of the Representative.

3. Reporting

Representatives of the University are encouraged to report conduct that does not meet the University's ethical standards. Such reports must meet the definition of good faith disclosure and be submitted to the appropriate authority.

Commented [A14]: Source: Ethical Conduct and Safe Disclosure Policy

Commented [A15]: Source: Ethical Conduct and Safe Disclosure Procedure

The University will maintain an environment of **safe disclosure** when such a report is made, in which:

- a. The persons and offices that receive and/or investigate such reports shall protect the identity of the person making the report to the extent possible under government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.
- b. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report.
- c. All individuals against whom allegations are made will maintain the rights, privileges and protections afforded to them through the *Freedom of Information and Protection of Privacy (FOIPP) Act* and other applicable government legislation, University policies, and collective agreements in effect at the time of the alleged misconduct.

Commented [A16]: Source: Ethical Conduct and Safe Disclosure Policy

Procedure

4. Disclosure of Misconduct

University process indicates that allegations or concerns of conduct that does not meet the University's ethical standards are primarily addressed utilizing the procedures associated with relevant University policies and procedures, collective agreements, government legislation and relevant professional standards.

Complainants should generally contact their manager or supervisor to disclose matters of alleged misconduct. Alternately, complainants may also contact the **Office of Administrative Responsibility** associated with the relevant policy and/or procedure [\(e.g. Research Integrity complaints should follow the Research and Scholarship Integrity Enforcement Procedure\)](#).

In instances where it is unknown where to disclose the matter, or the complainant has reasonable apprehension about coming forward, reports can be made to the Office of Safe Disclosure and Human Rights (OSDHR).

Initial disclosures to the OSDHR may be made verbally or in writing. OSDHR may request that disclosures be made in writing dependent on the nature of the concern and the requirements of the underlying policies. Be advised that disclosures made to OSDHR do not necessarily constitute institutional knowledge as this office's main goal is to provide advisory and referral services to the appropriate mechanism [\(e.g. referral to Internal Audit Services regarding financial concerns or outlining process expectation for concerns regarding discrimination or harassment is outlined in agreements and in the Discrimination, Harassment and Duty to Accommodate Policy\)](#).

Typically, in order for matters to be formally addressed, they will need to be reported to a **Representative of the University of Alberta** outside the OSDHR.

[Specific requirements for disclosing are outlined in the policy or procedure that governs the matter in question.](#) In general, disclosures should comprise of:

- The date and time of the incident(s);
- Identification of individuals responsible for the misconduct;
- Details of the alleged misconduct; and
- Name and contact information of the individual making the disclosure. Anonymous reporting may be permitted if it is permitted in the underlying processes (e.g. anonymous reporting is considered for fraud and irregularity but not for harassment).

5. Good Faith Disclosures and Reprisal

Any person making a good faith disclosure shall not be subject to reprisal.
Any person who believes they are subject to reprisal should contact the OSDHR.

6. Duty of Respondents

Those persons against whom allegations are made (**respondents**) must be treated in a fair and reasonable manner. Specifically, should formal complaints be made, respondents are entitled to:

- Be informed as to who has made the allegation against them, except for matters where the relevant policy and procedure specifically allow for anonymous or confidential complaints or the safety of the complainant may be in question;
- Only respond to allegations that have been made in a timely manner (as outlined in relevant policy if applicable);
- Be privy to enough details pertaining to the allegation to respond accurately; and/or
- Have the matter resolved in an expedient manner.

Respondents who feel that this duty is not being met, should contact the OSDHR.

Commented [A17]: Source: Ethical Conduct and Safe Disclosure Procedure

E. Avoidance of Conflicts of Interest

Overview

The University is committed to academic freedom and excellence in teaching and research. In pursuit of this mission, the University and members of the University community frequently engage in activities or situations where actual or perceived **conflicts** will exist, or which raises the potential of actual or perceived conflicts. Rather than disallow all conflicts, the University assesses conflict considerations and, when appropriate, permits certain managed conflict.

However, conflict is permitted only if it can be managed in a way that:

- a. Is compliant with legislation;
- b. Considers, protects and serves the interests, integrity and reputation of the University; and,
- c. Withstands the test of reasonable and independent scrutiny.

To maintain public trust and confidence, the University manages conflict in a fair, open, consistent, and practical manner. All members of the University share in the responsibility to appropriately address conflict.

Assessing conflict requires the collection of personal information as defined in the *Freedom of Information and Protection of Privacy Act*. The University will conduct this and other conflict-related activities with the utmost discretion and in compliance with legislation.

Commented [A18]: Source: Conflict Policy

Definitions

For the purposes of this Section 'E' only, the following definitions apply:

Academic Staff: An employee of the Board of Governors who, as a member of a category of employees or individually, has been designated as an academic staff member by the Board of Governors.

Commented [A19]: Source: Conflict Policy

Conflict Review Committee: A committee established in accordance with this section.

Commented [A20]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

Employee: All University of Alberta employees, including but not limited to faculty, staff, post-doctoral fellows, and student employees.

Event: Social, cultural, or sporting activities, charity or special functions, presentations, awards ceremonies, fundraisers, conferences and meetings hosted by a third party. It includes lunches, dinner, drinks, or other meals taken together.

Friend of the University: A person considering becoming a donor of the University.

Gift: A gift, bonus, reward or favour of any kind given to an individual. It does not include awards received.

Institution: The University or any corporation, partnership, or other legal entity owned, controlled or subject to the direction of the University.

Other Staff: Those individuals employed by the University on a part or full-time basis, who are not academic staff or support staff, and whether or not they are part of a bargaining unit.

Person: Includes academic staff, support staff, other staff, [students](#), postdoctoral fellows, [members of the Board of Governors](#) and a person's corporation [and any other individual who has a contractual or fiduciary relationship with the University as an institution](#).

Person's Corporation: Any professional corporation or corporation beneficially owned or controlled by a person.

Students: Includes undergraduate and graduate students.

Support Staff: An employee of the University who is a member of, and pays dues to, the Non-Academic Staff Association (NASA).

Policy

The University will be vigilant and pro-active concerning conflict.

A person engaging in an activity or a situation that involves either existing (actual or perceived) or potential (actual or perceived) conflict shall report the conflict so that it may be assessed and, where appropriate, managed in accordance with the associated procedures. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.

The University determines whether or not a situation or activity involves conflict. Therefore, all existing or potential conflict must be reported.

Purpose

- To reduce the incidence of conflict or potential conflict (**conflict of interest or conflict of commitment or institutional conflict**) and appropriately manage any permitted conduct.
- To clarify reporting requirements for existing or potential conflict, whether it is actual or perceived, and to outline the process for assessing conflict in order to make informed and sound decisions pertaining to matters of conflict of commitment or conflict of interest.

Commented [A21]: Source: Conflict Policy

Commented [A22]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

Procedure - Disclosure and Assessment of Conflicts of Interest

1. Reporting by a Person

- a. A person engaging in an activity or situation that involves either existing or potential conflict shall report the conflict so that it may be assessed and, where appropriate, managed.
- b. A person shall not engage in, or continue, the activity or situation until the University has assessed whether the conflict is permitted and, if so, how the conflict will be managed.
- c. In accordance with this procedure, a person will self-assess and report activities or situations that may involve actual or perceived conflict and will complete a **disclosure report** and submit it to a **reporting officer**.
- d. The following persons are required to complete a disclosure report on an annual basis, according to a 12-month in-the-future **reporting period**:
 - **academic staff** under the Faculty Agreement or Librarian Agreement or Faculty Service Officer Agreement or Administrative and Professional Officer Agreement;
 - **support staff** who make financial or hiring decisions or who may have a research-related conflict;
 - **other staff** who make financial or hiring decisions;
 - other staff employed in a department, office or unit which has as its primary function the creation of legal relationships with individuals or entities that are not part of the University;
 - other staff who have the authority to enter into contracts or commitments on behalf of the University;
 - other staff who, as part of normal duties, have regular formal contact with individuals or entities that are not subject to the conflict policy;
 - a person who may have a research-related conflict.
- e. Notwithstanding the requirements outlined in 1.d. of this procedure, the University has the discretion to require additional persons to complete a disclosure report on an annual basis, according to a 12-month in-the-future reporting period, or on a case-by-case basis.
- f. Any time there is a change in material facts that were disclosed in a disclosure report, a **reporting individual** must submit a revised disclosure report immediately.
- g. A reporting officer will:
 - solicit and monitor the submission of disclosure reports from those persons who they anticipate receiving a disclosure report;
 - send second notice date-specified requests for a disclosure report to persons from whom they would anticipate receiving a disclosure report; and
 - refer to a **conflict review officer** in instances where an expected disclosure report has not been submitted.
- h. The failure of a reporting officer to solicit a disclosure report does not release a person from their obligation to disclose existing or potential conflict.

2. Assessment by a Reporting Officer

- a. A reporting officer will receive disclosure reports from reporting individuals and will assess the information that has been provided in the disclosure report in accordance with this procedure.

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- b. If the reporting officer has a financial benefit or **financial interest** or **personal benefit** in the considerations being assessed, the reporting officer will refer the disclosure report to the next appropriate senior reporting officer who will assume the role of reporting officer or assign an alternate.
 - c. Where an existing or potential activity or situation is assessed for an actual or perceived conflict and where it is determined that there is:
 - no conflict, the reporting officer will contact the reporting individual to indicate that they are free to proceed with the activity or engage in the situation.
 - a conflict and the activity or situation does not sufficiently serve the interests of the University or is not appropriately manageable or not able to withstand the test of reasonable and independent scrutiny, the conflict will not be allowed and the reporting officer will contact the reporting individual to indicate that they are not free to proceed with, or continue to engage in, the activity or situation.
 - a conflict and the activity or situation can be managed as an **allowed conflict**, a suitable method of monitoring and managing the allowed conflict will be determined and implemented before the reporting individual is free to proceed with, or continue to engage in, the activity or situation.

3. Management of Allowed Conflict

When an activity or situation can be managed as an allowed conflict, the reporting officer will:

- a. Work with the reporting individual to settle on the terms and conditions under which an activity or situation associated with an allowed conflict will be conducted and managed;
- b. Ensure documentation of any outcome in a memorandum of agreement in the specified form;
- c. Ensure the term, conditions, and management of an activity associated with an allowed conflict is consistent with the *Freedom of Information and Protection of Privacy Act* and other legislation and University policy relevant to that activity;
- d. Administer or delegate the on-going monitoring and management of allowed conflict;
- e. Document all related matters and maintain records;
- f. Refer unresolved matters to a conflict review officer appropriately; and
- g. Keep senior officers of the University appropriately apprised.

In all instances of conflict involving research, the disclosure form should be submitted to the individual's reporting officer who will then consult with the Dean, Vice-President (Research) and Office of Faculty and Staff Relations as appropriate.

4. Referral Process

- a. In the case of conflict of commitment, it is expected that the reporting individual and the reporting officer will come to an agreement; however, in the event that this is not possible, the position of the reporting officer is final and will stand as the University's position on the matter.
- b. In the case of conflict of interest, the reporting individual and reporting officer need to first agree on whether the conflict considerations warrant an allowed conflict or not and, where applicable, on the method by which an allowed conflict is to be monitored and managed. If agreement cannot be reached, the matter is to be referred by the reporting officer to a conflict review officer or **conflict review committee**.
- c. The conflict review officer or conflict review committee will work with the reporting individual and reporting officer in an effort to reach an agreeable outcome and will ensure documentation of any

outcome in a memorandum of agreement in the specified form. If an agreeable outcome cannot be reached, the conflict review officer or conflict review committee will render a decision which shall be final and binding.

5. **Conflict Review Committee Membership**

- a. For conflict involving research activity:
 - i. Chair, appointed by the Vice-President (Research);
 - ii. One representative of the Research Services Office;
 - iii. One academic staff member, appointed by the Vice-President (Research); and
 - iv. Two members-at-large, appointed by the Provost and Vice-President (Academic).

Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

- b. For conflict involving non-research activity:
 - i. Chair, appointed by the Provost and Vice-President (Academic);
 - ii. One staff member appointed by the Vice-Provost and Associate Vice-President (Human Resources); and
 - iii. Two members-at-large, appointed by the Vice-Provost and Associate Vice-President (Human Resources).

Within the overall membership, it is recommended that there be one member with legal expertise and one with previous conflict resolution experience.

Procedure - Receipt and Acceptance of Gifts and Event Invitations

For the purpose of this Procedure, Gifts and Events do not include:

- normal and nominal Gifts and Event invitations between friends, where unrelated to the Representative's duties or position with the University;
- Gifts accepted by a Representative on behalf of the University; or
- attendance at social Events if the social Event is sponsored by a charitable foundation, a not-for-profit organization, the Governor General of Canada, a provincial Lieutenant Governor, any Canada federal, provincial, municipal or regional government or any member of any such government, or a consul or ambassador of a foreign country.

The exception for social Events sponsored by a not-for-profit organization does not apply to not-for-profit organizations constituted to serve management, union, or professional interests, or those having a majority of members that are profit-seeking enterprises or are representatives of profit-seeking enterprises.

Any Representative who is uncertain if acceptance of a Gift or an Event Invitation is appropriate should contact their Dean, Vice-President, the Provost or the President. The President should contact the Chair of the Board of Governors.

If there is uncertainty as to the value of a Gift or an Event, the Vice-President (Finance & Administration) shall have the authority to determine its value.

1. **Acceptance of Gifts**

- a. Representatives must not accept any Gift directly or indirectly connected with the performance of their University duties or by virtue of their position if the acceptance of the Gift creates a conflict of

Commented [A23]: Source: Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure

interest or the perception of a conflict of interest. Gifts which are not expected to create a conflict of interest are those received as:

- i. a token received as part of reasonable protocol;
 - ii. a social obligation;
 - iii. a cultural practice;
 - iv. a normal exchange of hospitality between two persons doing business together;
or
 - v. incident for participating in a public Event.
- b. Gifts cannot be in the form of cash or cash equivalents.
 - c. Representatives must exercise reasonable discretion in determining whether the acceptance of any Gift is appropriate. A Representative must never solicit a Gift in connection with their position or duties.
 - d. The maximum cash value of any one Gift that a Representative may accept is \$250.00, not exceeding \$500.00 per calendar year received from a single source.
 - e. If a Gift is also offered to a spouse, adult interdependent partner or minor child in their capacity as a spouse, adult interdependent partner or minor child of a University Representative, the same considerations apply as if the Gift was given to the Representative directly.
 - f. A Representative may seek an exemption, in writing, from any maximum valuation set out in this Procedure from their Dean, Vice-President, the Provost or the President. The President may seek an exemption in writing from the Chair of the Board of Governors. An exemption may be sought any time before or within a reasonable time after accepting a Gift. The party determining whether or not to grant an exemption will act reasonably in the circumstances and will consider the best interests of the University in making a determination. An exemption will not be allowed where there is an actual or perceived conflict of interest or where acceptance of the Gift would be contrary to the principles of this Code. Any exemption granted will be made in writing.
 - g. Should any Gift be accepted of which the cash value exceeds any maximum valuation, and there is no exemption approved in writing, the Gift should be returned to the party who offered it as soon as practical. If returning the Gift is not possible, or would be socially or culturally unacceptable, the Gift must be surrendered to the Vice-President (Finance and Administration) and become the property of the University of Alberta.

2. Acceptance of Invitations and Attending Events

- a. Representatives must not accept any invitation to an Event, or attend any Event, if the acceptance or attendance creates a conflict of interest or the perception of a conflict of interest. Events which are not expected to create a conflict of interest include those Events:
 - i. where a significant cross-section of Representatives have been invited;
 - ii. where the Representative pays for their own food, beverages, and all other expenses; or
 - iii. attended as an incident of the social obligations that normally accompany the Representative's position at the University.
- b. Representatives must exercise reasonable discretion in determining whether the acceptance of any invitation to or attendance at any Event is appropriate.
- c. The maximum cash value of attending an Event that a Representative has been invited to, inclusive of any food and beverage, is:

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- i. for the President, Vice Presidents, Associate Vice-Presidents, Deans, Vice-Provosts, Deputy Provosts, or General Counsel:
 - a. \$1,000.00 per Event, not exceeding \$2,000.00 per calendar year received from a single source, if the Event invitation is from a donor or Friend of the University; or
 - b. \$500.00 per Event, not exceeding \$500.00 per calendar year received from a single source, if the Event invitation is from any person other than a donor or Friend of the University.
 - ii. for any other Representative:
 - a. \$500.00 per Event, not exceeding \$500.00 per calendar year received from a single source.
 - d. Notwithstanding the above, if a Representative accepts an invitation to speak or participate in an active role at a conference, seminar, workshop, panel, or other similar engagement, and the Representative is attending in their role as a University employee or participation relates to their related academic activities, then the total cash value of attending the engagement, inclusive of all transportation, hospitality, accommodation, registration, food and beverage, and related incidentals must be reasonable in the circumstances and shall not exceed a maximum cash value of \$8,000 per engagement or \$16,000 per calendar year for engagements from a single source. The cash value of these engagements will be calculated and considered separately from other Event invitations.
 - e. If the invitation to attend an Event is also extended to a spouse, adult interdependent partner or minor child, the total cash value of all tickets received are to be taken into account.
 - f. If a Representative is invited to an Event at which the total cash value of attendance, inclusive of any food and beverage, exceeds any maximum cash value, the Representative may seek an exemption in writing from their Dean, Vice-President, the Provost or the President. The President may seek an exemption in writing from the Chair of the Board of Governors. The party determining whether or not to grant an exemption will act reasonably in the circumstances and will consider the best interests of the University in making a determination. An exemption will not be allowed where there is an actual or perceived conflict of interest or where acceptance of the invitation or attendance at the Event would be contrary to the principles of this Code. Any exemption granted will be made in writing.
 - g. Should a Representative attend an Event at which the total cash value of attending exceeds any maximum valuation set out in this Code, and there is no exemption approved in writing, the cash value of attending the Event, inclusive of any food and beverage, which exceeds the maximum valuation under this Code will be reimbursed by the Representative to the person/entity who originally covered the cost.

F. Managing Conflicts of Interest: Concurrent Activities and Supplementary Professional Activities

Requirement to Report Concurrent Activity

A Representative involved in a concurrent appointment, business, undertaking, employment, or self-employment (collectively "concurrent activity") other than their position with the University may be in a potential conflict. Representatives are therefore required to report all concurrent activity, subject to the pre-approvals below, so that the activity may be assessed for a conflict and where appropriate, managed. Reports must be made in accordance with Section 'E'. Where a current Representative is considering

engaging in a new concurrent activity, the Representative must seek prior approval of the University before doing so.

Some Representatives' concurrent activity may be the kind of activity defined as "Supplementary Professional Activities" (or "SPA") in their collective agreement. In the case of an appointment, business, undertaking, employment or self-employment meeting the definition of SPA within a collective agreement, the Representative's obligations in respect of that activity will be wholly as set out in their collective agreement and will not need to be additionally reported under Section 'E'. Collective agreements with SPA obligations are discussed further below.

Where a Representative subject to a collective agreement engages in concurrent activity that does not meet the definition of "SPA" under their collective agreement, or where the concurrent activity is not otherwise contemplated within their collective agreement, the Representative must report the concurrent activity unless the activity is pre-approved as below.

The requirement to report includes where a Representative receives income through a research grant where the research work:

- i. is not administered by the University through the Research Services Office; and
- ii. the research work does not meet the definition of Supplementary Professional Activity in the Representative's collective agreement.

Pre-Approved Concurrent Activity

The University deems some concurrent activity to be pre-approved. In those situations, the Representative is not required to report the activity unless it otherwise creates an actual or perceived conflict of interest.

Pre-approval is deemed for:

- a. Representatives engaging in concurrent activity for which the Representative will not receive nor be entitled to receive remuneration.
- b. Students of the University who are also employees of the University, where the concurrent activity is in the retail, hospitality, or service industry.
- c. Academic staff who do not hold a full-time position at the University, where:
 - i. their position at the University is unpaid;
 - ii. the academic staff member teaches no more than two courses per semester at the University;
 - iii. the concurrent activity is with another post-secondary institution; or
 - iv. the concurrent activity requires the academic staff member to be a member of a specified professional association which has a code of conduct and can discipline members for a breach of their code. The "specified professional associations" must be approved by the President or President's delegate. The associations currently approved are listed at Appendix A.
- d. Academic staff, whether full-time or part-time at the University, where the University knows at the time of their hiring or appointment that:

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- i. the academic staff member is being concurrently or jointly hired or appointed to the concurrent activity at another organization; or
 - ii. the academic staff member is already engaged in the concurrent activity at another organization.
- e. Non-student employees of the University who are members of the Non-Academic Staff Association or who are support staff excluded from the Non-Academic Staff Association, whose concurrent activity requires 20 hours or less per week, the required hours of which are not scheduled during the Representative's normal working hours at the University.

In limited circumstances, the manner in which concurrent activity may need to be reported and approved is addressed by external documentation. These situations are where:

- a. the Representative's concurrent activity meets the definition of Supplementary Professional Activity within their collective agreement, as the obligations relating to the reporting and approval of the activity will be wholly governed by their collective agreement; or
- b. the Representative is the President, as the President's obligations relating to the reporting and approval of concurrent activity are governed by the *Conflicts of Interest Act* and the requirement at Section I-2 of this Code.

Collective Agreements with SPA Obligations

The University's collective agreements provide direction for certain Representatives with respect to professional development through activity which is supplementary to their primary obligations to the University (known as 'SPA'). The types of Representatives with SPA obligations, and the nature of those obligations, are excerpted directly from the relevant collective agreements below.

The University endeavours to include the most recent excerpts from its collective agreements regarding SPA in this Code. However, because collective agreements frequently evolve through bargaining, the excerpts provided may at times be out of date. In the case of a discrepancy between an included excerpt and a collective agreement, the collective agreement will govern. Representatives governed by a collective agreement have a responsibility to know its contents and how it affects them in their role with the University.

Collective agreements are posted on the Human Resource Services website:
<https://www.ualberta.ca/faculty-and-staff/my-employment/collective-agreements-and-handbooks>

1. Faculty - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/faculty-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

Scope and context of SPA

8.01 A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

Commented [A24]: Source: Collective Agreement

8.02 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

8.03 Such SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and research to remain professionally relevant. Routine, repetitive and trivial SPA are discouraged.

Authorization of SPA

8.04 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Required SPA

[...]

8.06 Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 8.11.

Definition of SPA

8.07 Without restricting the generality of the term SPA, this category shall include any of the following:

- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g. summer session at another university;
- b) consulting;
- c) personal services contracts;
- d) private practice of the staff member's profession, e.g. medicine, dentistry, law, etc.

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

Approval of SPA

8.09 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

8.10 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.

Conditions

8.11 The authority and approval of SPA is subject to the following conditions:

- a) The staff member shall not compete unfairly with professionals outside the University.
- b) The SPA shall not infringe upon the University's conflict of interest guidelines.
- c) The SPA shall conform with regulations governing the use of University facilities and staff.
- d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the

user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and withstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.

- e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

Faculty regulations

8.20 Each Faculty Council shall develop regulations with respect to SPA. The regulations and any amendments thereto shall be filed with the Provost and the Association. The regulations shall include:

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

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this agreement to a faculty position on the academic staff of the University in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Faculty Council: The council created by that name in accordance with section 28 of the Post Secondary Learning Act; for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the staff members in the Faculty.

Department: The academic unit of a Faculty, established as such by the Board.

Dean: The chief executive officer of a Faculty.

Department Chair: The chief executive officer of a Department. Responsibilities assigned herein to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no departments.

Board: The Governors of the University of Alberta.

2. Faculty Service Officer Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Faculty Service Officer Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/faculty-service-officer-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

- 8.01 A staff member is a full-time employee and has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.
- 8.02 Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. These shall be duties which are performed outside regular office hours or while on vacation, e.g. lecturing in evening session, lecturing in Extension non-credit courses, etc. Requests to assume additional responsibilities shall be submitted, in writing, to the **Dean**.
- 8.03 A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, whether during regular University office hours or not, shall so inform his or her immediate supervisor. If the proposed activities are during regular office hours, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the immediate supervisor, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.
- 8.04 Care must be taken by the staff member that the outside activities are not in conflict of interest with the University duties.
- [...]
- 9.17 During leave, the staff member shall not undertake alternative employment without the advance written approval of the Provost.

Relevant Definitions (Article 1)

Faculty Service Officer: Group of academic staff who assist and collaborate with faculty members in teaching and research process. Such staff members will normally have a post-graduate degree in the particular discipline to which they are attached. The tasks they are assigned may include an administrative component but this will not be a major component of the assignment. A position in this category shall be established under the same procedures as those used for faculty positions and staff members shall be counted with faculty in the staff count.

Staff Member: A person who has been appointed to a faculty service officer position on the academic staff of the University in which the person has been or may be granted a continuing appointment; this term includes both full time and part time staff who hold such positions.

Dean: The chief executive officer of a Faculty.

Commented [A25]: Source: Collective Agreement

3. Library - Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Librarian Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/librarian-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities

Scope, context and authorization of supplementary professional activity

- 8.01 A staff member has a primary obligation to fulfil University responsibilities. A staff member who proposes to engage in activities outside the University which are related to his or her duties at the University or which are of a consulting nature, shall so inform the Chief Librarian. If the proposed activities are during regular office hours, the permission of the Supervisor and Chief Librarian, in writing, must be obtained prior to the staff member undertaking the activities. If University facilities are proposed to be used in the conduct of the outside activities, the permission of the Chief Librarian, in writing, must be obtained prior to the staff member utilizing such facilities. If the staff member expects to make extensive use of such facilities, the staff member may be required to reimburse the University for such use.
- 8.02 Under certain circumstances it is appropriate for staff members to assume responsibilities at the University in addition to their regular duties and for which they may receive additional remuneration. Requests to assume such additional responsibilities must be approved by the Supervisor and the Chief Librarian, in writing.
- 8.03 Such professional activity shall represent an integral part of the responsibility to relate theory to professional practice, thereby enabling professional practice to remain relevant.
- 8.04 Care must be taken by the staff member that the supplementary activities are not a conflict of interest with the University duties and do not prevent, hinder or unduly interfere with the staff member's primary responsibilities.
- 8.05 If there is a dispute with respect to a staff member's supplementary professional activity, the staff member shall have recourse to the Chief Librarian and the Provost, in that order. The decision of the Provost shall be final and binding.

Definition of supplementary professional activity

- 8.06 Without restricting the generality of the term supplementary professional activities, this category shall include any of the following:
- a) employment in any capacity by another employer; including the carrying out of teaching duties;
 - b) consulting;
 - c) personal services contracts.

Conditions

- 8.07 The authority and approval of supplementary professional activity is subject to the following conditions:
- a) The staff member shall not compete unfairly with professionals outside the University.
 - b) The supplementary professional activity shall not infringe upon the University's conflict of interest guidelines. (GFC Policy Manual Section 120.3)

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- c) The supplementary professional activity shall conform with regulations governing the use of University facilities and staff. (Research Policies and Services Manual)
 - d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such supplementary professional activity by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those supplementary professional activity has not been negotiated by or approved by the University.
 - e) When engaged in supplementary professional activity, a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in supplementary professional activity.

Relevant Definitions (Article 1)

Staff Member: A person who has a degree from an accredited graduate program in library and/or information studies, or an equivalent program, who has been appointed to a librarian position on the academic staff of the University of Alberta, in which the person has been or may be granted tenure; this term includes both full time and part time staff who hold such positions.

Chief Librarian: The chief executive officer of the University Libraries.

Supervisor: The Administrative Librarian to whom the staff member reports and is accountable, or the Chief Librarian, or another staff member who is delegated that responsibility on behalf of the Administrative Librarian. At least annually, the Chief Librarian shall provide to the Association a complete list of staff members and the Supervisor to whom each reports. When a staff member reports to more than one person, the Supervisor shall consult with the other person in making evaluations.

Provost: The Provost and Vice President (Academic) of the University.

Commented [A26]: Source: Collective Agreement

4. Academic Teaching Staff – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Academic Teaching Staff Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/academic-teaching-staff-agreement.pdf>

Relevant Excerpts

Article 8: Supplementary Professional Activities (SPA)

8.1 This Article shall apply to full-time staff members with Career Status and Term 12 Status appointments.

Scope and Context of SPA

8.2 A staff member who is a full-time employee has a primary obligation to fulfill University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

-
- 8.3 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.
- 8.4 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

- 8.5 Without restricting the generality of the term SPA, this category shall include any of the following:
- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
 - b) consulting;
 - c) personal services contract; or
 - d) private practice of the staff member's profession, e.g., dentistry, law, medicine, nursing, etc.

Approval of SPA

- 8.6 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.
- 8.7 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Provost, in that order. The decision of the Provost shall be final and binding.
- 8.8 The conditions governing SPA are set out in Appendix D.

[...]

APPENDIX D: Conditions for Supplementary Professional Activities (SPA)

1. The authority and approval of SPA is subject to the following conditions:
 - a) The staff member shall not compete unfairly with professionals outside the University.
 - b) The SPA shall not infringe upon the University's conflict policy and related procedures and protocols, as amended from time to time.
 - c) The SPA shall conform with the University's related policies, procedures and protocols related to the use of University facilities and staff, as amended from time to time.
 - d) The staff member shall indemnify and hold harmless the University from and against any loss, injury or damage which the University may or could suffer arising in any way out of or in relation to such activities. The staff member gives this covenant and makes this agreement notwithstanding that the University has participated in such activities by the provision of facilities, space, equipment, or administrative assistance, unless the said loss, injury or damage arises directly from a malfunction of the said facilities or equipment which is not caused by the user thereof; and notwithstanding that the University has participated in such SPA by the provision of students or postdoctoral fellows or the like; and notwithstanding that any formal contract with respect to those SPA has not been negotiated by or approved by the University.
 - e) When engaged in SPA a staff member shall not use the name of the University in any way, except as the mailing address, nor shall the staff member hold himself or herself to be an agent of the University when engaged in SPA.

[...]

4. SPA shall represent an integral part of the responsibility to relate theory to practice, thereby enabling teaching and/or teaching-related responsibilities to remain professionally relevant. Routine, repetitive and trivial SPA is discouraged.

Required SPA

[...]

6. Where a Faculty Council has deemed SPA to be essential to the work of the Department, the Faculty Council shall recommend to the Board that such SPA be considered as part of the primary University responsibilities. The Board may approve such recommendations on such conditions as it deems appropriate, having regard to 1.a.

Major SPA

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

[...]

Faculty Regulations

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

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed under this Agreement to a position with teaching and/or teaching-related responsibilities (in accordance with Article 7) on the academic staff of the University (where teaching shall involve University credit courses) and where the funding source permits payment of such responsibilities

Department Chair: The administrative head of a Department reporting to the Dean. Responsibilities assigned in this Agreement to a Department Chair shall be the responsibility of the Dean in Faculties in which there are no Departments.

Dean: A University employee who "has general supervision over and direction of the academic work and instructional staff of the Faculty and of the officers and employees employed in connection with that work, and has the other powers, duties and functions that are assigned to the dean by the president" pursuant to Section 21(2) of the Post-Secondary Learning Act (Alberta).

Provost: The Provost and Vice President (Academic) of the University. The Provost is the Chief Operating Officer and Senior Vice President.

Faculty Council: The council created by that name pursuant to Section 28(2) of the Post-Secondary Learning Act (Alberta); for the purposes of this Agreement voting on decisions required by this Agreement shall be restricted to the academic staff members in the Faculty.

Commented [A27]: Source: Collective Agreement

5. Temporary Administrative and Professional Staff (TAPS) – Supplementary Professional Activities (SPA)

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Temporary Administrative and Professional Staff Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/temporary-administrative-and-professional-staff-agreement.pdf>

Relevant Excerpts

Article 9: Supplementary Professional Activities (SPA)

All Staff Members

9.01 This Article shall apply to all full-time staff members.

Scope and Context of SPA

9.02 A staff member who is a full-time employee has a primary obligation to fulfil University responsibilities. The staff member shall remain current with recent developments in the discipline through personal professional development.

9.03 One means of accomplishing professional development may be through professional activity which is supplementary to the primary obligations to the University.

9.04 Subject to the provisions of this Article, a staff member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the staff member's primary responsibilities.

Definition of SPA

- 9.05 Without restricting the generality of the term SPA, this category shall include any of the following:
- a) employment in any capacity by another employer including the carrying out of teaching duties, e.g., summer session at another university;
 - b) consulting;
 - c) personal services contract;
 - d) private practice of the staff member's profession, e.g., medicine, nursing, law, etc.

Approval of SPA

9.06 A staff member shall obtain written approval of the Supervisor prior to undertaking major SPA. Prior to approving SPA, the Supervisor shall ensure that primary University responsibilities will be performed satisfactorily.

9.07 If there is a dispute with respect to a staff member's SPA, the staff member shall have recourse to the Dean and the Vice-President, in that order. The decision of the Vice-President shall be final and binding.

9.08 The conditions governing SPA are set out in Appendix D.

[...]

Appendix D: Conditions for Supplementary Professional Activities (SPA)

1. SPA at the University

- 1.1 Under certain circumstances, a staff member may accept responsibilities at the University in addition to regular responsibilities for which the staff member may receive remuneration additional to regular salary.
- 1.2 The Supervisor and the Vice-President shall approve requests for approval of such SPA prior to the assumption of the responsibilities.
- 1.3 SPA shall be performed outside regular office hours unless otherwise approved by the Vice-President.

2. SPA Outside the University

- 2.1 A staff member who proposed to engage SPA for another employer or as a consultant or self employed professional shall inform the Supervisor in writing of such intention.
- 2.2 The written permission of the Supervisor is required if
 - a) the activities will take place during regular University office hours; or
 - b) the activities involve University staff, students or the use of University facilities.

Relevant Definitions (Article 1)

Staff Member: A person who has been appointed to a position on the academic staff of the University for a fixed term. This term includes all the categories enumerated in Article 6.03.

Supervisor: The person to whom a staff member reports

Commented [A28]: Source: Collective Agreement

6. Administrative and Professional Officers – Supplementary Professional Activity

Collective agreement: Board of Governors of the University of Alberta and The Association of the Academic Staff of the University of Alberta – Administrative and Professional Officer Agreement – July 2017

Full collective agreement URL: <https://cloudfront.ualberta.ca/-/media/hrs/my-employment/agreements/administrative-and-professional-officer-agreement.pdf>

Relevant Excerpts

Supplementary Professional Activity Outside the University

- 8.09 A staff member who proposes to engage in supplementary professional activity for another employer or as a consultant or self-employed professional shall inform the Supervisor in writing of such intention.
- 8.10 The written permission of the Supervisor is required if:
 - a) the activities will take place during regular University office hours; or
 - b) the activities involve University staff, students or the use of University facilities.
- 8.11 If the staff member expects to involve students, staff or the use of University facilities, the staff member may be required by the Vice-President to enter into a contract with the University.
- 8.12 A staff member shall not engage in supplementary professional activities which involve a conflict of interest or conflict of commitment with responsibilities to the University.

Relevant Definitions (Article 1)

Staff Member and APO: “Staff member” and “APO” means an Administrative Professional Officer (APO) who has been designated as continuing academic staff by the University of Alberta. An APO is a manager or other professional who provides leadership, strategic advice and direction in the organization; and is accountable for planning, negotiating, problem solving, risk assessment and prevention, and/or operational oversight of resources. An APO shall normally require an academic degree; professional designation or equivalent related experience.

Vice-President: A senior administrator with a number of reporting units within the University. Where the term “Vice-President” is used in the Agreement, unless otherwise stated, it means the specific Vice-President to whom the other administrative officials named are accountable unless otherwise specified.

Commented [A29]: Source: Collective Agreement

G. Interaction Between the Code and Collective Agreements

The University's various collective agreements may contain provisions relating to matters this Code purports to apply to. Nothing in this Code is intended to affect the operation of any collective agreement. In the case of a discrepancy or inconsistency between this Code and a collective agreement, the terms of the collective agreement will govern.

Representatives of the University governed by a collective agreement have a responsibility to know its content and how it affects them in their role with the University.

H. Breaches of the Code

Any breach of any section of this Code by a Representative, including a breach of the conflict of interest provisions or the concurrent employment provisions, is a violation of the University's ethical standards. Individuals reporting an actual or alleged breach of any part of this Code should therefore disclose these complaints in the manner specified by Section 'D'.

Upon receiving an allegation that a Representative has breached the Code, if the complaint is credible, the authority receiving the complaint will notify the Respondent, and will either investigate the matter or will refer the matter to another appropriate authority to investigate. The investigating authority will make factual findings and as part of the investigation will give the Respondent a reasonable opportunity to respond. The investigating authority will then prepare a written report including a determination as to whether or not the Code has been breached. If the Code is determined to have been breached, the Respondent may seek to have the findings reviewed within a reasonable time. Any review process will occur in writing. A breach of the Code is a disciplinable event that may result in corrective action being taken against the Representative.

Complaints, Responses, Investigations and Discipline for Representatives Subject to a Collective Agreement

Notwithstanding the above, where an allegation is to be made against a Representative who is subject to a collective agreement, the disclosure of that complaint, and any response, investigation, and discipline relating to the complaint, will be as provided for in the Representative's collective agreement to the extent it differs or is inconsistent with this Code. If the Representative's collective agreement is silent, the procedures in this Code shall govern.

Because collective agreements frequently evolve through bargaining, and because collective agreement provisions relating to complaints, responses, investigations and discipline may be thorough and numerous, this Code does not attempt to provide excerpts of all responsive collective agreement language. Instead, Representatives are directed to their respective collective agreement:

Type of Representative	Name and link to relevant collective agreement (or policy)	Relevant Articles
Faculty	Faculty Agreement – July 2017	7, 9, 12-17, 27-29
Faculty Service Officers	Faculty Service Officer Agreement – July 2017	7, 9, 12-17, 27-29
Librarians	Librarian Agreement - July 2017	7, 9, 12-17, 27-29
Academic Teaching Staff	Academic Teaching Staff Agreement - July 2017	7, 9-15, 27
Temporary Administrative and Professional Staff	Temporary Administrative and Professional Staff (TAPS) Agreement – July 2017	8, 12-15, 24-26
Administrative and Professional Officers	Administrative and Professional Officer (APO) Agreement – July 2017	8, 12-16, 27-29
Trust/Research Academic Staff	Trust Research Academic Staff (TRAS) Agreement - July 2017	7, 12-16, 27-29
Non-Academic Staff (NASA)	Non-Academic Students Association (NASA) Agreement - June 2016 to March 2019	15, 18, 21
Graduate Students	GSA and Board of Governors Collective Agreement - Sept 2016 to Aug 2018	12, 23
Post-Doctoral Fellows	Postdoctoral Fellows Discipline Procedure <small>(note: Collective agreement currently being negotiated. Until then, discipline procedure is per policy).</small>	As per Procedure
Management and Professional Staff (MAPS)	Code of Conduct: Employees' Obligations Respecting Conflict of Interest	As per Code
Any other Representative not covered by a collective agreement	Code of Conduct: Employees' Obligations Respecting Conflict of Interest	As per Code

Note: The list of relevant articles is provided as a courtesy and may not be exhaustive.

I. Obligations Specific to the President

1. In addition to the obligations owed elsewhere in this Code, the President:
 - a. Must not take part in a decision in the course of carrying out their office or powers knowing that the decision might further their own private interest, the private interest of their own minor or adult child, or the private interest of any person directly associated with them, pursuant to Section 23.925(1) of the Conflicts of Interest Act;
 - b. Must not use their office or powers to influence or to seek to influence a decision to be made by or on behalf of the Crown or a public agency to further their own private interest, the private interest of their minor child, or the private interest of any person directly associated with them, or to improperly further any other person's private interest, pursuant to Section 23.925(2) of the Conflicts of Interest Act;
 - c. Must not use or communicate information not available to the general public that was gained by them in the course of carrying out their office or powers to further or seek to further a private

interest of their own, or any other person's private interest, pursuant to Section 23.925(3) of the *Conflicts of Interest Act*; and

- d. Must not fail to appropriately and adequately disclose a real or apparent conflict of interest in the manner specified in this Code, pursuant to Section 23.925(4) of the *Conflicts of Interest Act*.
2. The President may not be involved in a concurrent appointment, business, undertaking, employment, or self-employment, other than their role as President of the University, without the written approval of the Ethics Commissioner pursuant to Section 23.926 of the *Conflicts of Interest Act*. The President must first report the concurrent activity in accordance with Section 'E' and obtain a determination from the University that the activity is not a conflict, or is an allowed conflict, before applying to the Ethics Commissioner for approval. The President may not engage in the concurrent activity until written approval from the Ethics Commissioner is obtained.

TRANSITIONAL: If the President is continuing under the same contract, agreement, or appointment with the University that was in effect as of December 15, 2017, the obligations specific to the President regarding concurrent activities as described in paragraph 2 above do not apply to the President until the earlier of:

- i. December 15, 2019, or
- ii. The date on which the President renews or extends their agreement, enters into a new agreement, or is re-appointed to continue as the President.

If the President renews, extends, enters a new agreement or is re-appointed as the President on any date after December 15, 2017, the obligations regarding concurrent activities as described in paragraph 2 above apply as of that date, subject to any other time periods required by the *Conflicts of Interest Act*.

The President may consult Section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional provisions.

3. The President is a designated senior official pursuant to Order in Council 085/2018 and the *Conflicts of Interest Act*. The President has a responsibility to know their obligations under that Act. The President's obligations as a designated senior official include, but are not limited to, the following:

Restrictions on Holdings (s. 23.93)

The President, within 60 days of the obligations as a designated senior official taking effect, must not own or have a beneficial interest in any publicly-traded securities, subject to the following exceptions:

- The securities are held in a blind trust which meets the criteria of the *Conflicts of Interest Act* and has been approved by the Ethics Commissioner;
- The securities are held in an investment arrangement which meets the criteria of the *Conflicts of Interest Act* and has been approved by the Ethics Commissioner;
- Prior to the expiry of the 60-day period, the President applied to the Ethics Commissioner for approval to retain the ownership or beneficial interest in the securities and the Ethics Commissioner granted approval or the Ethics Commissioner granted conditional approval and the President has taken all steps directed by the Ethics Commissioner with respect to the disposition of the securities; or

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- After the expiry of the 60-day period, the President acquires the ownership or beneficial interest in the securities with the prior approval of the Ethics Commissioner.

If the President acquires the ownership or beneficial interest in publicly-traded securities by gift or inheritance after the obligations as a designated senior official take effect, the President has 60 days upon receiving the securities to dispose of them or meet one of the above exceptions.

Disclosure and Filing Requirements (ss. 23.931-23.932)

The President, within 60 days of the obligations as a designated senior official taking effect, must:

- File a disclosure statement with the Ethics Commissioner in the form and manner specified; and
- File a return (relating to persons directly associated with the President) with the Ethics Commissioner in the form and manner specified.

The President must also observe the following ongoing obligations:

- In each subsequent year from the filing of the first disclosure statement, file a disclosure statement with the Ethics Commissioner at the time specified by the Ethics Commissioner;
- Within 30 days after any material change to the information contained in a current disclosure statement, file with the Ethics Commissioner an amending disclosure statement, setting out the changes;
- Within 30 days after any material change to the information contained in a current return, file another return with the Ethics Commissioner; and
- Within 30 days of ceasing to be a designated senior official, file a return with the Ethics Commissioner.

Failing to file or knowingly filing false or misleading information is subject to reporting and administrative penalties under section 23.934 of the *Conflicts of Interest Act*.

Post-Employment Restrictions (s. 23.927-23.939)

The President, upon ceasing to be a designated senior official, must observe a number of post-employment restrictions. These restrictions include:

- For a period of 12 months from the last day they held the position of President, the President shall not:
 - lobby any public office holder, as those terms are defined in the *Lobbyists Act*; and

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- act on a commercial basis or make representations on their own behalf or on behalf of any other person in connection with any ongoing matter in which the President, while acting as President, directly acted for or advised a department or public agency involved in the matter.
 - For a period of 12 months from the last day the President had a direct and significant official dealing with a department or public agency, the President shall not:
 - make representations with respect to a contract with or benefit from that department or public agency; or
 - solicit or accept on their own behalf a contract or benefit from that department or public agency.
 - For a period of 12 months from the last day the President had a direct and significant official dealing with an individual, organization, board of directors or equivalent body of an organization, the President shall not:
 - accept employment with that individual or organization or an appointment to the board of directors or equivalent body.

Notwithstanding the above:

- Nothing restricts the (former) President from being appointed to the board of directors or a governing body of another public agency; and
- Nothing restricts the (former) President from accepting employment with a department of the public service or a public agency in accordance with Part 1 of the *Public Service Act*.

The (former) President may apply to the Ethics Commissioner for a reduction or waiver of any time period for the post-employment restrictions, pursuant to section 23.938 of the *Conflicts of Interest Act*.

Contravention of the post-employment restrictions is an offence under section 23.939 of the *Conflicts of Interest Act* and may be subject to a fine up to \$50,000.

TRANSITIONAL: If the President is continuing under the same contract, agreement, or appointment with the University that was in effect as of April 4, 2018, the obligations specific to the President as a designated senior official as described in paragraph 3 above do not apply to the President until the earlier of:

- i. April 4, 2020, or
- ii. The date on which the President renews or extends their agreement, enters into a new agreement, or is re-appointed to continue as the President.

If the President renews, extends, enters a new agreement or is re-appointed as the President on any date after April 4, 2018, the obligations as a designated senior official described in paragraph 3 above apply as of that date, subject to any other time periods required by the *Conflicts of Interest Act*.

The President may consult Section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional provisions.

J. Notice Period & Amendments

1. This Code will be submitted to the Ethics Commissioner for review pursuant to Section 23.922 of the *Conflicts of Interest Act*.
2. Providing approval has been received from the Ethics Commissioner in accordance with the *Conflicts of Interest Act*, this Code will be made public on the University of Alberta website on or before April 30, 2019.
3. The period from the date the Code is made public, until June 30, 2019 will be the public notice period.
4. This Code will be implemented on July 1, 2019.
5. The University reserves the right to amend this Code at any time, including but not limited to:
 - a. on the advice or demand of the Office of the Ethics Commissioner of Alberta; or
 - b. where required to ensure compliance with any changes to the *Conflicts of Interest Act*, the *Post-Secondary Learning Act*, or any other applicable legislation or order-in council; or
 - c. where changes are made to University of Alberta policies and procedures through the appropriate internal approval processes and/or to collective agreements through normal negotiation processes.
6. Any amendment or replacement of this Code will be submitted to the Ethics Commissioner for approval in a manner pursuant to Section 23.923(2) of the *Conflicts of Interest Act* and any other applicable legislation.

Appendix A: Specified Professional Associations Approved by the President

The University deems some concurrent activity to be pre-approved. In those situations, the Representative is not required to report the activity unless it otherwise creates an actual or perceived conflict of interest.

Where the Representative is an academic staff member who does not hold a full-time position at the University, and the concurrent activity requires the Representative to be a member of a specified professional association which has a code of conduct and can discipline members for a breach of that code, the concurrent activity is deemed pre-approved if the membership required is with one of the following professional associations which have been approved by the President (or the President's delegate):

- Alberta Association of Architects
- Alberta Association of Landscape Architects
- Alberta College of Pharmacy
- Alberta College of Social Workers (ACSW)
- Alberta Institute of Agrologists
- Alberta Medical Association
- Alberta Professional Planners Institute (APPI)
- Alberta Society of Professional Biologists (ASPB)
- Alberta Teacher's Association
- Alberta Urban Municipal Association (AUMA)
- Alberta Veterinary Medical Association
- American Geophysical Union
- American Industrial Hygiene Association (AIHA)
- American Psychological Association
- Apprenticeship and Industry Training (AIT)
- Association for Applied Psychophysiology and Biofeedback
- Association for Applied Sport Psychology
- Association of Change Management Professionals (ACMP)
- Association of Professional Engineers and Geoscientists of Alberta (APEGA)
- Association of Science & Engineering Technology Professional of Alberta (ASET)
- Association of the Chemical Profession of Alberta
- Board of Canadian Registered Safety Professional (BCRSP)
- Canadian Association of Information Technology Professionals
- Canadian Association of Physicists
- Canadian Athletic Therapists Association
- Canadian Bar Association (CBA)
- Canadian Registration Board of Occupational Hygienists (CRBOH)

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- Canadian Institute of Actuaries
 - Canadian Institute of Management (CIM)
 - Canadian Institute of Planners (CIP)
 - Canadian Institute of Quantity Surveyors (CIQS)
 - Canadian Medical Protective Agency (CMPA)
 - Canadian Physiotherapy Association
 - Canadian Professionals in Human Resources Alberta
 - Canadian Psychological Association
 - Canadian Society of Safety Engineering (CSSE)
 - Chartered Financial Analysts Institute
 - Chartered Professional Accountants (CPA) Alberta
 - College and Association of Registered Nurses of Alberta (CARNA)
 - College of Alberta Psychologists
 - College of Alberta School Superintendents
 - College of Dietitians of Alberta
 - College of Physicians and Surgeons of Alberta (CPSA)
 - EcoCanada
 - Global Association of Risk Professionals (GARP)
 - Human Resources Institute of Alberta (HRIA)
 - International Institute of Business Analysis (IIBA)
 - International Society for Neurofeedback and Research
 - Law Society of any province or territory in Canada
 - Local Government Administrators Association (LGAA)
 - Professional Risk Managers' International Association
 - Project Management Institute (PMI)
 - Project Management Professional (PMP)
 - Royal College of Physician and Surgeons of Canada (RCPSC)
 - Society of Actuaries
 - Society of Local Government Managers (SLGM)
 - Statistical Society of Canada
 - Supply Chain Management Association (SCMA)

The University endeavours to include the most recent list of approved professional associations in this Appendix. However, the President (or the President's delegate) may add or remove professional associations from this list from time to time. In the case of a discrepancy between this Appendix A and the current list of approved professional associations, the current list will govern.

**Governance Executive Summary
Action Item**

Agenda Title	Proposed Revisions to Standing Committee Terms of Reference – GFC Executive Committee
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Motion

THAT General Faculties Council approve the proposed Terms of Reference for the GFC Executive Committee, as set forth in Attachment 1, to take effect July 1, 2019.
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Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	GFC Executive Committee
Presenter(s)	David Turpin, Chair, GFC Executive Committee

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before GFC to approve the revised terms of reference.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The Report of the <i>ad hoc</i> Committee on Academic Governance including Delegated Authority, endorsed by GFC on April 21, 2017, directed the Executive Committee to establish two groups related to the implementation of the recommendations. These groups were established and have been active over the last two years:</p> <ul style="list-style-type: none"> • a transition committee to advise and guide the implementation of the recommendations • a working group to revise COSA terms of reference in alignment with the guiding principles for GFC and its committees <p>The report also contained a number of recommendations for changes to the GFC Executive Committee terms of reference. These recommendations, in addition to the Principles of Committee Composition and Delegation of Authority, have been incorporated into the proposed terms of reference. The terms have also been updated to remove items which are no longer relevant or are contained elsewhere.</p> <p><u>Added to the terms of reference:</u></p> <ul style="list-style-type: none"> - Clarification on when the Executive Committee can act on behalf of GFC and how this is decided - Oversight of governance rules and procedures including regular review of delegations of authority, ongoing evaluations and reforms to academic governance - Discussion of focus and goals of annual Summit with the Board of Governors - <i>Committee composition</i> - one Dean, elected by GFC, is added to the composition in place of one elected academic staff - <i>Committee composition</i> - removal of the restriction of one academic staff per faculty except for Arts and Science that could have 2 academic staff if they were from different departments. Any Faculty is now allowed 2 academic staff on the committee; this aligns with the Principles of Committee Composition

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	<p><u>Other proposed changes</u></p> <ul style="list-style-type: none"> - Removal of cross representative from Executive to Academic Planning Committee <p><u>Removed from terms of reference</u></p> <ul style="list-style-type: none"> - Academic Awards – update as GFC delegated approval of awards to the GFC Undergraduate Awards and Scholarship Committee (UASC), May 27, 2002 - Access to student records – this is covered by UAPPOL - Access to information held by GFC Standing Committees – this is covered under Freedom of Information and Protection of Privacy Act <p><u>Items that remain in the terms of reference pending further work:</u></p> <ul style="list-style-type: none"> - On January 14, 2019, the GFC Executive Committee established an ad hoc committee to review current program approval processes and proposed revised pathways. This group will be responsible for bringing forward proposals to address the remaining recommendations around: <ul style="list-style-type: none"> o Delegations related to programs (course designators, re-numbering of courses at the same level, course challenges, service courses) o Approval of consolidated examinations
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • GFC Executive Committee • GFC Executive Committee Transition Committee <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Report of the ad hoc Committee on Academic Governance Including Delegated Authority (endorsed by GFC April 21, 2017) Appendix 6: List of Consultations • General Faculties Council
Approval Route (Governance) (including meeting dates)	<p>GFC Executive Committee – February 11, 2019 General Faculties Council – February 25, 2019</p>

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>For the Public Good Objective 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</p>			
Alignment with Institutional Risk Indicator	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change </td> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success			

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	<input type="checkbox"/> Physical Infrastructure	
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act (PSLA)</i> GFC Executive Committee Terms of Reference	

Attachments (each to be numbered 1 - <>)

1. Proposed GFC Executive Committee Terms of Reference
2. Current GFC Executive Committee Terms of Reference

Prepared by: University Governance



1. Mandate and Role of the Committee

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

2. Areas of Responsibility

- a. Act on behalf of General Faculties Council as defined in section 4.1
- b. Preparation of agendas for GFC
- c. Faculty Councils – membership, quorum, control function, sub-delegations
- d. Student Judiciary matters
- e. Academic procedural matters
- f. Governance rules and procedures oversight

3. Composition

Voting Members (14)

Ex-officio (5)

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

Elected from and by GFC (9)

- 7 academic staff (A1.1, 1.5, 1.6, 1.7), one of whom will be elected by the committee to serve as Vice-Chair
- 1 Dean
- 1 undergraduate student

Non-Voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from General Faculties Council

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

- 4.1 Act on behalf of General Faculties Council on matters that must be decided before the next regularly scheduled GFC meeting and where it is not feasible to call a special meeting of GFC. The committee will first determine if the matter cannot wait and, if so determined, will proceed to consider it and act on behalf of GFC and report on the decision at the next GFC meeting.
- 4.2 Prepare the agenda for all regular and special meetings of General Faculties Council. The committee will receive items from:
 - a. GFC Standing Committees
 - b. GFC members
 - c. University AdministrationThe committee may choose to provide comments to GFC on any agenda items.

4.3 Faculty Councils

- a. Approve composition and quorum provisions of Faculty Councils
- b. Exercise supervision of control functions regarding Faculty Councils (section 29 and 30 of PSLA), with recommendations to GFC when appropriate

4.4 Student Judiciary Matters

- a. Consider changes to Code of Student Behaviour, Code of Applicant Behaviour, Practicum Intervention Policy for approval or placement on GFC agenda
- b. Receive and discuss annual reports on student conduct, including residence discipline statistics, and appeals and place on the GFC agenda for information
- c. Authority to take whatever special measures are necessary to ensure timely and fully-constituted hearing by the University Appeal Board (UAB), Academic Appeals Committee (AAC) and Practice Review Board (PRB)

4.5 Academic Procedures

- a. Approve the Academic Schedule
- b. Provide for the preparation and publication of the University Calendar
- c. Approve changes to wording on Parchments
- d. Approve proposals for consolidated exams
- e. Approve new course designators and re-numbering of courses at the same level
- f. Make final decisions on course challenges that cannot be resolved through other means

4.6 Governance Procedural Oversight

- a. Ensure delegations from GFC are reviewed at least every 3 years
- b. Make recommendations to GFC regarding terms of reference, composition, and procedures for GFC and its standing committees

5. Responsibilities Additional to Delegated Authority

- 5.1 Joint Summit of the Board and GFC – the chair will consult annually with the committee on the focus and goals of the annual joint meeting

6. Sub-delegations from GFC Executive Committee

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

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

6.1 Academic Procedures

- a. Technical matters relating to the publication of the University Calendar have been sub-delegated to the Registrar
- b. Special arrangements to depart from the official Final Examination Schedule have been sub-delegated to Faculty Councils, subject to challenge by GFC

7. Limitations to Authority

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

- 7.1 Decisions made on behalf of GFC under section 4.1 must be reported at the next GFC meeting.
- 7.2 In ordering the GFC agenda, the committee will be mindful of student membership terms when considering matters of particular concern to students.

8. Reporting to GFC

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

9. Definitions

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

10. Related Links

Academic Schedule Policy and Procedure
Consolidated Final Examinations Procedure
Parchment Procedure
GFC Policy Manual Section 37: Course and minor program changes
University Calendar, Regulations

Approved by General Faculties Council: [date]

GFC Executive Committee Terms of Reference

1. Authority

The *Post-Secondary Learning Act (PSLA)* gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)). GFC has established an Executive Committee. The items referred to in subsections (d) (e) (g) and (j) of Section 26(l) of the *Act* are delegated to the Executive Committee. (GFC 08 SEP 1966)

The complete wording of the section(s) of the *PSLA*, as referred to above, should be checked in any instance where formal jurisdiction needs to be determined.

2. Composition of the Committee

Ex Officio

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

Elected (to be elected from and by GFC)

- 8 members from Categories A1.1 and A1.6 and their counterparts in A1.5 and A1.7*, providing that there shall be no more than one representative from any Faculty except that both the Faculty of Arts and the Faculty of Science may have two representatives providing they come from different Departments.
- 1 undergraduate student

* See UAPPOL Recruitment Policy (Appendix A) Definition and Categories of Academic Staff.

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. (GFC 08 SEP 1966) (GFC 12 FEB 1996)

1. Urgent Matters

The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966)

2. Routine Matters

Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee. (GFC 08 SEP 1966)

3. Academic Awards

Responsibility, as it concerns all students other than graduate students registered in the Faculty of Graduate Studies and Research, for making rules and regulations respecting academic awards shall be delegated by General Faculties Council to the Executive Committee. (GFC 02 DEC 1966)

4. Academic Schedule

a. Delegation

Post-Secondary Learning Act (PSLA) Section 26(l)(j) follows:

26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to...

(j) determine the date for the beginning and end of lectures in the university and also the beginning and end of each university term....

b. Academic Schedule Changes

The GFC Executive Committee has delegated authority from General Faculties Council to approve the Academic Schedule. Any changes to the Academic Schedule proposed after the Schedule has been approved must be submitted to the Executive Committee. That committee will determine which changes are sufficiently substantial and require, therefore, GFC approval and which ones are routine in nature and could be dealt with by the Executive Committee. (GFC 20 SEP 1982)

5. Agendas of General Faculties Council

GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.

When ordering items, the GFC Executive Committee will be mindful of any matters that are of particular concern to students during March and April so that the student leaders who bring those items forward are able to address these items at GFC before their terms end. (EXEC 06 NOV 2006)

When recommendations are forwarded to General Faculties Council from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chair about proposals being forwarded from APC to GFC.

With respect to recommendations from other bodies and other GFC committees, however, the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment. (GFC 30 JUN 1992)

6. Calendar

Section 26(1) of the *PSLA* empowers GFC to

(g) provide for the preparation and publication of the university calendar.

(Technical matters relating to the printing and publication of the Calendar are delegated to the Registrar (GFC May 31, 1976).

7. Examinations

Section 26(1) of the *PSLA* empowers GFC to

(d) determine the timetables for examinations, and for lectures and other instruction in each Faculty.

(e) consider and make decisions on the reports of faculty councils as to the appointment of examiners and the conduct and results of examinations in the faculties.

a. Subject to challenge by General Faculties Council, the Executive Committee has accorded to Faculty Councils the authority to deal with special arrangements regarding final examinations. (EXEC 15 FEB 1967)

b. The Executive Committee approves requests from Faculties which wish to schedule common examinations (See Section 52.8 of the GFC Policy Manual). (GFC 27 OCT 1980)

8. Faculty Councils

a. Appointments to Faculty Councils

The Executive Committee of General Faculties Council shall be authorized to make appointments to Faculty Councils on their recommendations. (GFC 25 NOV 1968)

With respect to appointments of external members to Faculty Councils, approval of the positions by the Executive Committee, on behalf of GFC, shall suffice. (GFC 28 JUN 1976)

b. Control Functions re: Faculty Councils

The responsibility of exercising supervision of the control functions referred to in Sections 29 and 30 of the *PSLA* shall be delegated to the Executive Committee which shall make recommendations to General Faculties Council when appropriate. (GFC 02 DEC 1966)

Post-Secondary Learning Act Section 29(1)

A faculty council may

(a) determine the programs of study for which the faculty is established,

(b) appoint the examiners for examinations in the faculty, conduct the examinations and determine the results of them,

(c) provide for the admission of students to the faculty,

(d) determine the conditions under which a student must withdraw from or may continue the student's program of studies in the faculty, and

(e) authorize the granting of degrees,

subject to any conditions or restrictions that are imposed by the general faculties council.

c. Quorum

Subject to the approval of the GFC Executive Committee, each Faculty shall establish its own Faculty Council quorum provision(s), on the understanding that nothing in those provisions shall take away from those persons eligible to attend their right to do so. In the summer (ie, the months of May through August), the members of the Faculty Council who are available shall have power to deal with matters that arise. (EXEC 09 SEP 2002)

9. Student Records: Requests for Access for Research Purposes

The Policy on Student Records: Contents, Access, Use and Protection of the GFC Policy Manual was approved by the Board of Governors on January 26, 2007 for inclusion in the University of Alberta Policies and Procedures On-Line (UAPPOL).

10. Access to Information Held by GFC Standing Committees

Where a GFC Standing Committee does not accede to a request for access to specified material in its hands, there shall be a right of appeal to the Executive Committee of GFC. A formal request may also be made for specified material through the University of Alberta's Information and Privacy Office. (EXEC 30 AUG 1999)

A committee may, if it chooses, seek the advice of the Executive Committee on requests for release of information or refer requests for decision to the Executive Committee. (GFC 31 MAR 1981)

11. Student Residence Codes

New student residence codes shall be submitted to the GFC Campus Law Review Committee which will make a recommendation to the GFC Executive Committee. The GFC Executive has the delegated authority from General Faculties Council to approve new residence codes.

Any changes to existing student residence codes shall be submitted to the GFC Campus Law Review Committee. Any major changes to existing student residence codes shall be forwarded with the recommendation of the CLRC to the GFC Executive for final approval.

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)

12. Membership on the GFC University Appeal Board (UAB), GFC Academic Appeals Committee (AAC) and GFC Practice Review Board (PRB)

GFC delegates to the Executive Committee the authority to take whatever special measures are necessary to ensure timely and fully-constituted hearings by the University Appeal Board (UAB), Academic Appeals Committee (AAC) and Practice Review Board (PRB). These measures may include, but are not limited to, the extension of terms of office and the appointment of additional members for a temporary period. (EXEC 10 MAY 1999) (GFC 21 JUNE 1999)

13. Course Challenges and Service Courses

a. In cases where a challenge cannot be resolved ... the Secretary to General Faculties Council shall ... have the challenge placed before the Executive Committee of GFC for final resolution. In those cases where the Executive Committee is of the opinion that a policy issue is involved, it will place the issue before General Faculties Council.

The Executive Committee shall decide whether a course challenge is frivolous and an appeal from such a decision shall lie to General Faculties Council.

b. If agreement is reached between a servicing and a serviced Faculty on a proposed withdrawal of a service course, then approval need not be sought from General Faculties Council nor from the Executive Committee.

If agreement cannot be reached between the servicing and serviced Faculty on a proposed withdrawal of a service course, the matter should be referred to the GFC Executive Committee.

If the Executive Committee is unable to resolve the problem, the matter should be referred to General Faculties Council.

14. Course Numbering and Naming System

a. Recommendations to renumber courses at the same level shall be proposed by the appropriate Faculty Council, circulated according to the procedures described in Section 37.1, and, in the absence of unresolved challenges, submitted to GFC Executive for ratification. Course renumbering to a different number level will normally be accomplished by deleting the current course and introducing a new course at the new level. (GFC 17 JUN 1996)

b. New course subject names and their abbreviations shall be proposed by the Faculty Council, circulated according to the procedure described in Section 37.1, and, in the absence of unresolved challenges, submitted to GFC Executive for ratification. (GFC 17 JUN 1996)

Also see Section 37.

For appeals against decisions on program challenges, see Courses, Section 37.1.E.

15. Terms of Office for GFC Members

The GFC Executive is authorized to specify, after consultation with the Faculty concerned, the term of office of each elected member whose term has not been specified. (GFC 08 SEP 1966)

16. Institutional Marking and Grading Policies and/or Procedures

To consider advice or recommendation from the GFC ASC on institutional marking and grading policies and/or procedures. (GFC 31 MAY 2005)

17. Institutional Term Work Policies and/or Procedures

To consider advice or recommendation from the GFC ASC on institutional term work policies and/or procedures. (GFC 31 MAY 2005)

4. Committee Procedures

Attendance

It is expected that members will attend all meetings of the Executive Committee. If a member knows in advance that an absence of two or more consecutive meetings is unavoidable, the Chair should be consulted. (GFC 09 FEB 1981)

Voting

a. When Acting as an Executive Committee

When dealing with matters specifically delegated to it by General Faculties Council, the Executive Committee shall conform to the Voting procedures set out in the *General Terms of Reference – Standing Committees of General Faculties Council (GFC)*.

b. When Acting for General Faculties Council

When dealing with other matters on behalf of General Faculties Council, the Executive Committee shall be authorized to take action providing the number of votes in favor of such action is greater than 50% of the total number of members. (On the basis of the present membership of fourteen (1992), eight votes in favor of a proposal would be sufficient.) The Chair will have the right to cast a vote or abstain as the Chair sees fit. (EXEC 20 SEP 1971)

5. Additional Reporting Requirements

Executive Committee minutes shall be filed with GFC for information. (EXEC 06 NOV 2006)

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Approved November 26, 2007 (GFC)

**Governance Executive Summary
Action Item**

Agenda Title	Proposed Terms of Reference for Council on Student Affairs (COSA)
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Motion I

<p>THAT General Faculties Council approve the proposed Terms of Reference for the Council on Student Affairs (COSA), as set forth in Attachment 1, to take effect July 1, 2019.</p>

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	COSA Working Group
Presenter(s)	Tammy Hopper, Vice-Provost (Programs), Vice-Chair, GFC Executive ad hoc Transition Committee Akanksha Bhatnagar, Vice President (Academic), Students' Union Masoud Aliramezani, Vice-President (Academic), Graduate Students' Association

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before GFC to approve new terms of reference for the Council on Student Affairs (COSA).
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>In April 2017, General Faculties Council endorsed the report of the ad hoc Committee on Academic Governance including Delegated Authority and approved the following principles documents to guide the implementation of the committee's recommendations, the revisions to standing committees and terms of reference, and to serve as a basis for future efforts to evaluate and improve academic governance at the University of Alberta.</p> <ul style="list-style-type: none"> • Principles for Delegation of Authority • Principles of Standing Committee Composition • Roles and Responsibilities of Members • Meeting Procedural Rules for GFC and its standing committees <p>In developing the guiding principles, the ad hoc committee discussed the commitment to providing a structure that allows for the active and engaged participation of all members. Through the review process, it was apparent that there was frustration on the part of students, administration and other GFC members in a perceived lack of discussion on issues involving students at GFC. It was also noted that students felt that <i>better</i> student consultation and input, rather than more student consultation and input was needed.</p> <p>The ad hoc committee report contained a number of recommendations specific to COSA. In response to these recommendations, the GFC Executive Committee established a working group to develop a proposal that re-imagined COSA to become a more formal part of the governance system and re-structured it to align with the GFC guiding principles. It was envisioned that a re-imagined COSA would provide improved linkages with GFC and allow issues affecting students to be presented, discussed and carried to a vote. Documentation would then form part of</p>

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	<p>proposals proceeding to GFC or its standing committees and assure these bodies that a substantial discussion had occurred at COSA and student perspectives were included. On November 26, 2018, proposed terms of reference for COSA came forward to GFC for early consultation.</p> <p>At the November GFC meeting, there was discussion about Aboriginal student representation on the committee as voting members. During further discussions, it was recognized that COSA is unique among GFC committees as it looks across a spectrum of issues from the student perspective. Thus the composition should focus more on a representative than a policy role.</p> <p>Providing the opportunity for effective student participation is an important principle of academic governance at the University of Alberta. The documents provided to GFC for early consultation on COSA outlined the breadth of participation of students on administrative committees which inform proposals coming forward to governance.</p> <p>It is also important to recognize the context of TRC reconciliation and, as such, the composition has been revised to include the President of the Aboriginal Student Council as an ex-officio voting member of COSA.</p> <p>The re-imagined COSA would potentially provide an effective venue for the active and engaged participation of students in university governance. Reports from an effective COSA would provide GFC with the student voice on issues under consideration and allow students a forum which is of appropriate size for all voices to be heard.</p> <p>In consideration of this, it is proposed that COSA run under its new structure for a few years and then it be evaluated on the basis of its effectiveness in achieving its mandate and whether the composition is appropriate for the mandate. GFC Executive would then reconvene the discussion on COSA to provide a recommendation to GFC on the continuation or disbandment of COSA.</p>
<p>Supplementary Notes and context</p>	<p><u><i>GFC Executive Committee meeting of January 14, 2019</i></u></p> <p>At this meeting, the proposed terms of reference were considered by the committee for recommendation to GFC. Prior to this meeting, the Indigenous Graduate Student Association (IGSA) requested that their President be considered for a voting ex-officio seat on COSA as the President of the Aboriginal Students' Council (ASC) had been included. The committee discussed this request and asked whether the International students should also be represented in a similar fashion. The committee decided to return the proposed terms of reference to the Transition Committee for further consideration of the composition issue.</p> <p>The Transition Committee reviewed the request with continued consideration of GFC principles, current context, and appropriate size for all voices to be heard. A range of pertinent issues were considered, including: COSA's efficiency and effectiveness with an increase in the size; the value of adding members to represent different groups of students and the role of such representation given the mandate and role of COSA; the precedent that might be set in terms of expanding committee size in response to demands to represent different groups of students; the possibility of alternating membership each year between</p>

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the ASC and IGSA; whether there are other demographic groups that should also be considered for representation. The Transition Committee also noted the GFC principles which allow the Chair to invite guests to meetings as needed based on items being discussed.

With this in mind, the Transition Committee developed two options for composition.

Option 1: Increased the number of ex-officio members by adding the President of the Indigenous Graduate Student Association. This option addressed the concern expressed by Indigenous graduate students. This change would increase the voting members to 19 and the total number of members to 27.

Option 2: Rather than increase the number of ex-officio members, add 3 appointed students as voting members representing (i) the Aboriginal Student Council, (ii) the Indigenous Graduate Student Association, and (iii) the International Students' Association. This recognized that input from these specific demographic groups is important, within the current landscape, to deliberations at meetings of COSA. Importantly, this option also reduced the size of COSA by removing the non-voting members, which is not inconsistent with the revised mandate and role of COSA, particularly given that the Chair can invite guests to speak or participate on specific COSA agenda items.

The Transition Committee noted that this was a difficult and significant decision and recommended that BOTH options be presented to General Faculties Council for discussion and final decision.

GFC Executive Committee meeting of February 11, 2019

On February 11, 2019, the GFC Executive Committee discussed the two options presented. The committee recognized the complexity of the composition and considered the GFC Principles of Committee Composition, how and why specific groups were represented, and the need to have the right size of committee to allow for active participation. Members discussed the importance of appropriate consultation on proposals before they reach governance bodies, allowing for stakeholders to have a voice in the process. Members further noted that meetings of COSA would be open to observers and that the Chair may invite guests to any meeting to speak to items on the agenda.

The committee agreed that the composition presented as option 2 was more appropriate as it aligned with GFC principles on committee composition, resulted in a smaller committee while maintaining the ability for students to attend meetings as observers or guests, and was appropriate to the role and mandate of COSA. The committee also noted the importance of moving forward with new terms of reference of COSA to allow this group to move under the governance umbrella as recommended by the Report of the ad hoc Committee on Academic Governance, and thus participate in a more formal manner in the academic governance system.

The committee revised the proposed terms to include the composition of option 2 and recommends that GFC approve the proposed terms of

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	reference for COSA.
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Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • COSA Working Group: November 23, 2017; February 9, 2018; April 24, 2018; June 13, 2018 (via email) • GFC Executive Committee – October 16, 2017 (established working group) • GFC Executive Transition Committee – December 20, 2018; January 16, 2019
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • COSA: February 6, 2018; April 3, 2018 • Students’ Union (SU) GFC Caucus: February 22, 2018; April 25, 2018 • Ms Alicia Cappello (former GFC and COSA member): February 6, 2018 • Transition Committee: January 16, February 21, March 21, April 18, May 16, October 31, November 21, December 20, 2018 • GFC Executive Committee: September 10, 2018, January 14, 2019 • GFC: November 26, 2018
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee - February 11, 2019 General Faculties Council – February 25, 2019</p>

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></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 1 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>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0"> <tr> <td> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success		
<p>Legislative Compliance and jurisdiction</p>	<p>Post-Secondary Learning Act GFC Executive Committee Terms of Reference GFC Terms of Reference Report of the ad hoc Committee on Academic Governance Including Delegated Authority</p>		

Attachments (each to be numbered 1 - <>)

1. Proposed COSA Terms of Reference

Prepared by: Provost's Office and University Governance



1. Mandate and Role of the Committee

The Council on Student Affairs is a standing committee of General Faculties Council (GFC) charged with providing considered input to ensure proposals and policies before GFC are evaluated in light of their impact on students at the University of Alberta.

2. Areas of Responsibility

- a. Promote continued improvement of programs and policies related to student academic affairs
- b. Review proposals and policies related to student academic affairs

3. Composition

Voting Members (20)

Ex-officio (5)

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

Elected by and from GFC (12)

- 8 undergraduate students, with no more than one student per faculty
- 2 graduate students
- 2 academic staff, one of whom will be elected by the committee to serve as Vice-Chair

Appointed (3)

Representatives of:

- the Aboriginal Student Council, selected by the Aboriginal Student Council
- the Indigenous Graduate Student Association, selected by the Indigenous Graduate Student Association
- the International Students' Association, selected by the International Students' Association

4. Delegated Authority from General Faculties Council

None

5. Responsibilities Additional to Delegated Authority

- 5.1 Review and recommend to the GFC standing committees and GFC on various issues related to teaching and learning, academic programs, research, student financial support, student accessibility, significant changes to the academic schedule, student conduct, planning, and facilities
- 5.2 Review of issues may be requested by GFC, its standing committees, or initiated by the Council on Student Affairs

6. Limitations to Authority

N/A

7. Reporting

Reports regularly to GFC on activities and recommendations

8. Definitions

Student Academic Affairs: Activities, directly related to education and learning, that occur as part of a student's regular course work or program of study

9. Links

Approved by General Faculties Council: [date]

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Proposed Revisions to Terms of Reference – General Faculties Council
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Item

Proposed by	General Faculties Council
Presenter	Eleni Stroulia, Chair, GFC Executive Transition Committee Tammy Hopper, Vice-Chair, GFC Executive Transition Committee Marion Haggarty-France, University Secretary

Details

Responsibility	General Faculties Council
The Purpose of the Proposal is (please be specific)	The proposal is before GFC for consultation on proposed new terms of reference for GFC.
Executive Summary (outline the specific item – and remember your audience)	<p>The Report of the ad hoc Committee on Academic Governance including Delegated Authority was endorsed by GFC on April 21, 2017. Since that time, proposals related to the implementation of the recommendations including standing committee terms of reference, have been coming forward to GFC for approval.</p> <p>The GFC terms are now coming forward for discussion. GFC's delegations to other bodies are in the process of being curated and will appear as a link in the terms of reference; a snapshot of what this will look like is included as attachment 2. When it goes live, this link will provide all delegations to standing committees and, over time, will be updated to include delegations to other bodies and officers.</p> <p>Since 2017, GFC members have seen many of the ad hoc recommendations reflected in GFC's work including:</p> <ul style="list-style-type: none"> • increase in the number of GFC meetings to eight per year between September and June • early consultation on items that are in the development stage • early consultation on substantive and strategic issues of broad relevance to the community • the Chair of the Board of Governors is invited annually to speak at a GFC meeting • an annual joint meeting between the Board and GFC was established and was successfully held in 2018 and 2019 (the Senate was invited to join based on the summit topic) • annual orientation sessions occur • a comprehensive GFC and committee member guidebook is now widely available to members wanting a single reference for all the information they require to be effective in their roles <p>As a self-governing body, GFC has added appointed members to its composition to deal with, discern, and discuss items. GFC currently has 158 members, 84 are statutory members named in the <i>Post-Secondary Learning Act</i>, the remaining 74 are appointed members added by GFC over the years. The ad hoc report recommended a review of the composition of GFC with the intention of decreasing its size, keeping in</p>

Item No. 7

	<p>mind the parameters of the PSLA.</p> <p><u>Questions for Discussion:</u></p> <ol style="list-style-type: none"> 1. <i>Given the items coming forward to GFC and the level of discussion, is there still a need to decrease the size of GFC?</i> 2. <i>Are there members of the community who should be added to GFC as appointed members?</i> 3. <i>Most of the current appointed members came onto GFC in the 1960s and 70s. Are these still relevant and appropriate?</i>
<p>Supplementary Notes and context</p>	<p>On February 11, 2019, the GFC Executive Committee proposed no changes to the terms of reference.</p> <p>The committee discussed the current composition and noted the following potential additions to GFC:</p> <ul style="list-style-type: none"> • Post-Doctoral Fellows (recently added to the PSLA) • St Stephen's College (one of two affiliated colleges- the other being St Joseph's) <p>It was pointed out that some seats are challenging to fill and have remained vacant for some time (ie: non-NASA support staff representative).</p> <p>Members discussed the relationship between the effectiveness of COSA (which declined in the 1970s) and the addition of elected student members to GFC (around that same time). Members discussed the average size of academic senates in Canada, current GFC engagement and attendance.</p>

Engagement and Routing (Include proposed plan)

<p>Consultation and Stakeholder Participation</p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • General Faculties Council • GFC Executive Committee • GFC Executive Committee Transition Committee <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Report of the ad hoc Committee on Academic Governance Including Delegated Authority (endorsed by GFC April 21, 2017) Appendix 6: List of Consultations
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Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p>Please note the Institutional Strategic Plan objective(s)/strategies the proposal supports.</p>									
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" data-bbox="553 1864 1529 2001"> <tr> <td><input type="checkbox"/> Enrolment Management</td> <td><input type="checkbox"/> Relationship with Stakeholders</td> </tr> <tr> <td><input type="checkbox"/> Faculty and Staff</td> <td><input checked="" type="checkbox"/> Reputation</td> </tr> <tr> <td><input type="checkbox"/> Funding and Resource Management</td> <td><input type="checkbox"/> Research Enterprise</td> </tr> <tr> <td><input type="checkbox"/> IT Services, Software and Hardware</td> <td><input type="checkbox"/> Safety</td> </tr> </table>		<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders	<input type="checkbox"/> Faculty and Staff	<input checked="" type="checkbox"/> Reputation	<input type="checkbox"/> Funding and Resource Management	<input type="checkbox"/> Research Enterprise	<input type="checkbox"/> IT Services, Software and Hardware	<input type="checkbox"/> Safety
<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders									
<input type="checkbox"/> Faculty and Staff	<input checked="" type="checkbox"/> Reputation									
<input type="checkbox"/> Funding and Resource Management	<input type="checkbox"/> Research Enterprise									
<input type="checkbox"/> IT Services, Software and Hardware	<input type="checkbox"/> Safety									

Item No. 7

	<input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	Post-Secondary Learning Act	

Attachments (each to be numbered 1 - <>)

1. Draft GFC Terms of Reference
2. Snapshot of curated Delegations of Authority to GFC Executive Committee
3. GFC Membership Composition Overview (Statutory and appointed members)
4. Current GFC Membership (including category)

Prepared by: University Governance



1. Mandate and Role of the Committee

The University of Alberta is governed bicamerally by the Board of Governors and General Faculties Council (GFC); they share and balance power within the University and are called upon to provide both oversight and strategic vision. The proper functioning of the Board and GFC are essential to the university's institutional autonomy and the processes of collegial academic governance.

GFC is the University's senior academic governing body defined in the *Post-Secondary Learning Act (PSLA)* and is responsible for the **academic affairs** of the University, subject to the authority of the Board of Governors. The Board of Governors has primary responsibility for the business affairs of the institution.

2. Areas of Responsibility

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

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

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

3. Composition

Voting Members (158)

Statutory:

Ex-officio (27) – PSLA, Sec 23(a)

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

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

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

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

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

Appointed -- PSLA, Sec 23 (d):

Elected Students



- undergraduate students (40)
- graduate students (14)

Other appointees (20)

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

Reapportionment of elected faculty and student seats takes place every three years with at least one faculty and one student per Faculty.

Each Faculty shall adopt a method of election for their respective elected faculty representatives to GFC. Academic staff members serve three year terms, elected individuals may serve more than one term. Faculties may elect members to serve one- or two-year terms in order to provide overlapping terms. Persons on leave normally do not serve.

Elected students are elected in accordance with the principles approved by GFC February 3, 1971. Student members serve a one year term, elected individuals may serve more than one term.

The President will chair GFC. In the absence of the President, GFC will be chaired by the Provost or by the Dean serving on the GFC Executive Committee.

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from the Board of Governors

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

- 4.1 Physical Testing and Immunization of Students - individual Faculty regulations (sub-delegated to GFC Academic Standards Committee)
- 4.2 General Space Programs for academic units (sub-delegated to GFC Facilities Development Committee)
- 4.3 Proposals concerning the design and use of all new facilities and the repurposing of existing facilities (sub-delegated to GFC Facilities Development Committee)



5. Responsibilities Additional to Delegated Authority

5.1 Receive an information session on the proposed budget each year just prior to being introduced to the Board approval process, and receive information on the budget, however 'soft', at the first GFC meeting in September.

6. Delegations from General Faculties Council

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

6.1 The PSLA allows GFC to delegate its responsibilities to GFC standing committees and other persons. Specific delegations from GFC are outlined in the following:

[link to spreadsheet – attachment 2]

7. Limitations to Authority

GFC is subject to the authority of the Board of Governors

8. Reporting

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

9. Definitions

Reapportionment - The process by which the number of members that may be elected by each Faculty is determined. This number elected faculty members shall be proportional to the number of faculty members in each Faculty. The number of elected undergraduate student members shall be proportional to the number of undergraduate students in each Faculty. It is, in effect, a "representation-by-population" system. Reapportionment occurs every three years.

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

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

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

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

10. Links

[Procedure for Reapportionment](#)

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

Attachment 2 - Snapshot of curated delegations to GFC Executive Committee

Delegating Entity	Receiving Entity	Sub-delegation	Heading	Action	Content	Effective Date	Source I	Effective Date	Source II	Limitations
GFC	EXEC		General Authority	Approve	Act on behalf of General Faculties Council on matters that must be decided before the next regularly scheduled GFC meeting and where it is not feasible to call a special meeting of GFC		GFC EXEC ToR			EXEC must report on any decisions made on behalf of GFC at the next GFC meeting.
GFC	EXEC		General Authority	Approve	Prepare the agenda for all regular and special meetings of General Faculties Council		GFC EXEC ToR			Reports and recommendations from the GFC Academic Planning Committee (APC) submitted for placement on the GFC agenda are not debated
GFC	EXEC		Faculty Councils	Approve	Exercise supervision of control functions regarding Faculty Councils (section 29 and 30 of PSLA), with recommendations to GFC when appropriate	2-Dec-66	GFC EXEC ToR			Recommend to GFC when appropriate
GFC	EXEC		Faculty Councils	Approve	Composition of Faculty Councils	25-Nov-68	GFC EXEC ToR			
GFC	EXEC		Faculty Councils	Approve	Quorum provisions of Faculty Councils	9-Sep-02	GFC EXEC ToR			
GFC	EXEC		Student Judiciary	Approve	Consider changes to Code of Student Behaviour, Code of Applicant Behaviour, Practicum Intervention Policy for approval or placement on GFC agenda		GFC EXEC ToR			
GFC	EXEC		Student Judiciary	Receive	Receive and discuss annual reports on student conduct, discipline cases, and appeals, and place on the GFC agenda for information		GFC EXEC ToR			
			Student Judiciary	Approve	Take whatever special measures are necessary to ensure timely and fully-constituted hearing by the University Appeal Board (UAB), Academic Appeals Committee (AAC), and Practice Review Board (PRB)	21-Jun-99	GFC EXEC ToR			
GFC	EXEC		Academic Procedures	Approve	Approve the Academic Schedule	20-Sep-82	GFC EXEC ToR	17-Aug-09	Academic Schedule Policy (UAPPOL)	
GFC	EXEC	Registrar Faculty	Academic Procedures	Approve	Technical matters relating to the publication of the University Calendar	31-May-76	GFC EXEC ToR	17-Aug-09	Academic Schedule Policy (UAPPOL)	
GFC	EXEC	Councils	Academic Procedures	Approve	Special arrangements to depart from the official Final Examination Schedule	15-Feb-67	GFC EXEC ToR			subject to challenge by GFC

Delegating Entity	Receiving Entity	Sub-delegation	Heading	Action	Content	Effective Date	Source I	Effective Date	Source II	Limitations
GFC	EXEC		Academic Procedures	Approve	Provide for the preparation and publication fo the University Calendar		GFC EXEC ToR			
GFC	EXEC		Academic Procedures	Approve	Make final decisions on course challenges that cannot be resolved through other means	17-Jun-96	GFC EXEC ToR			
GFC	EXEC		Academic Procedures	Approve	Approve changes to wording on Parchments		GFC EXEC ToR			
GFC	EXEC		Academic Procedures	Approve	Approve proposals for consolidated exams	27-Oct-80	GFC EXEC ToR	28-May-12	Consolidated Final Exam Procedure (Assessment and Grading Policy) (UAPPOL)	
GFC	EXEC		Academic Procedures	Approve	Approve new course designators and re-numbering of courses at the same level		GFC EXEC ToR			
GFC	EXEC		Governance Procedural Oversight	Recommend	Make recommendations to GFC regarding terms of reference, composition, and procedures for GFC and its standing committees		GFC EXEC ToR			
GFC	EXEC		Governance Procedural Oversight	Review	Ensure delegations from GFC are reviewed at least every 3 years	11-Dec-09	GFC EXEC ToR			
BoG/GFC	EXEC		Academic Appointments	Approve	Routine editorial changes to the Department Chairs Review Procedure. These authorities over procedures are related to the appointment of academic staff and embrace senior administrators including Department Chairs.		Department Chair Review Procedure (Recruitment Policy) (UAPPOL)			EXEC will recommend to the Board Human Resources and Compensation Committee (BHRCC) on substantive changes. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.
BoG/GFC	EXEC		Academic Appointments	Approve	Routine editorial changes to the Department Chairs Selections Procedure. These authorities over procedures are related to the appointment of academic staff and embrace senior administrators including Department Chairs.		Department Chairs Selection Procedure (Recruitment Policy) (UAPPOL)			EXEC will recommend to the Board Human Resources and Compensation Committee (BHRCC) on substantive changes. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Delegating Entity	Receiving Entity	Sub-delegation	Heading	Action	Content	Effective Date	Source I	Effective Date	Source II	Limitations
						26-Apr-12				
GFC/Board	EXEC		Academic Appointments	Approve	Routine editorial changes to the Faculty Deans Review Procedure. These authorities over procedures are related to the appointment of academic staff and embrace the renewal and termination of appointments of senior administrators including Deans.		Faculty Deans Review Procedure (Recruitment Policy) (UAPPOL)			EXEC will recommend to the Board Human Resources and Compensation Committee (BHRCC) on substantive changes. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.
						3-May-11				
GFC/Board	EXEC		Academic Appointments	Approve	Routine editorial changes to the Faculty Deans Selection Procedure. These authorities over procedures are related to the appointment of academic staff and embrace senior administrators including Deans.		Faculty Deans Selection Procedure (Recruitment Policy) (UAPPOL)			EXEC will recommend to the Board Human Resources and Compensation Committee (BHRCC) on substantive changes. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.



84 Statutory Members:

- President (Chair)
- Vice-Presidents (6)
- Deans (18)
- Chief Librarian
- Registrar
- Elected Faculty Members (54)
- Undergraduate Student Members (2)
- Graduate Student Member (1)



74 Appointed Members:

- Dean of Students
- President of AASUA
- Board of Governors Representatives (President GSA; President SU; Undergraduate Student, AASUA, NASA, and GFC Appointees) (6)
- Non-Academic Staff (3)
- Elected Undergraduate Student Members (40)
- Elected Graduate Student Members (14)
- Library Academic Staff (3)
- APOs/FSOs (2)
- President of St Joseph's College
- Sessional and Other Temporary Staff (2)
- Chair of Chairs' Council or delegate

GFC Membership by Legislation – Post Secondary Learning Act (PSLA) Sections 23, 24, 25

 View [‘Reapportionment of GFC Seats’](#) for Details

MEMBER	RELATIONSHIP	FACULTY/OFFICE	TERM END
Voting			
STATUTORY (EX-OFFICIO) <i>Post-Secondary Learning Act (PSLA) Section 23 (a)</i>			
David Turpin	President and Chair	Office of the President	30-Jun-20
Steven Dew	Provost and Vice-President (Academic)	Office of the Provost and Vice-President (Academic)	30-Jun-20
Stanford Blade	Dean, Agricultural, Life and Environmental Sciences	Agricultural, Life and Environmental Sciences	30-Jun-19
Lesley Cormack	Dean, Arts	Arts	30-Jun-21
Allen Berger	Dean, Augustana Faculty	Augustana Campus	30-Jun-19
Joseph Doucet	Dean, Business	Business, Alberta School of	30-Jun-23
Jennifer Tupper	Dean, Education	Education	30-Jun-22
Fraser Forbes	Dean, Engineering	Engineering	30-Jun-21
Katy Campbell	Dean, Extension	Extension	30-Jun-20
Pierre-Yves Mocquais	Dean, Faculté Saint-Jean	Faculté Saint-Jean	30-Jun-19
Deborah Burshtyn	Dean, Faculty of Graduate Studies and Research (Interim)	Graduate Studies and Research	30-Jun-19
Kerry Mummery	Dean, Kinesiology, Sport, and Recreation	Kinesiology, Sport, and Recreation	30-Jun-20
Paul Paton	Dean, Law	Law	30-Jun-19
Dennis Kunimoto	Dean, Medicine and Dentistry (Acting)	Medicine and Dentistry	
Chris Andersen	Dean, Native Studies	Native Studies	30-Jun-22
Greta Cummings	Dean, Nursing	Nursing	30-Jun-22
Neal Davies	Dean, Pharmacy and Pharmaceutical Sciences	Pharmacy and Pharmaceutical Sciences	30-Jun-21
Robert Haennel	Dean, Rehabilitation Medicine	Rehabilitation Medicine	30-Jun-23
Shanthi Johnson	Dean, School of Public Health	Public Health, School of	30-Jun-23
Frank Marsiglio	Dean, Science (Interim)	Science	30-Jun-19
Kelly Spencer	Vice-President, Advancement (Interim)	Office of Advancement	31-Oct-18
Andrew Sharman	Vice-President, Facilities and Operations	Office of the Vice-President (Facilities and Operations)	30-Jun-21
Gitta Kulczycki	Vice-President, Finance & Administration	Office of the Vice-President (Finance and Administration)	30-Jun-21
Matthias Ruth	Vice-President, Research	Office of the Vice-President (Research)	30-Jun-23
Jacqui Tam	Vice-President, University Relations	Office of the Vice-President (University Relations)	30-Jun-22
Melissa Padfield	Vice-Provost and University Registrar (Interim)	Office of the Registrar	30-Jun-19
Dale Askey	Vice-Provost (Learning Services) and Chief Librarian	Learning Services	

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line “Terms of Reference” documentation, specific to each committee.

STATUTORY FACULTY MEMBERS (Elected by Each Faculty/School) PSLA Section 23 (b) in accordance to Section 24			
Nadir Erbilgin	Statutory Academic Staff	Agricultural, Life and Environmental Sciences	30-Jun-20
Lynn McMullen	Statutory Academic Staff	Agricultural, Life and Environmental Sciences	30-Jun-20
Brent Swallow	Statutory Academic Staff	Agricultural, Life and Environmental Sciences	30-Jun-19
Bill Foster	Statutory Academic Staff	Augustana Campus	30-Jun-20
Piet Defraeye	Statutory Academic Staff	Arts	30-Jun-21
Ryan Dynch	Statutory Academic Staff	Arts	30-Jun-19
Michael Frishkopf	Statutory Academic Staff	Arts	30-Jun-21
Lesley Harrington	Statutory Academic Staff	Arts	30-Jun-19
Susanne Luhmann	Statutory Academic Staff	Arts	30-Jun-21
Carolyn Sale	Statutory Academic Staff	Arts	30-Jun-20
Carrie Smith	Statutory Academic Staff	Arts	30-Jun-19
Benjamin Tucker	Statutory Academic Staff	Arts	30-Jun-19
Alice Nakamura	Statutory Academic Staff	Business, Alberta School of	30-Jun-19
Akiko Watanabe	Statutory Academic Staff	Business, Alberta School of	30-Jun-21
Eva Lemaire	Statutory Academic Staff	Faculté Saint-Jean	30-Jun-20
Christina Rinaldi	Statutory Academic Staff	Education	30-Jun-21
Jorge Sousa	Statutory Academic Staff	Education	30-Jun-19
Lynne Wiltse	Statutory Academic Staff	Education	30-Jun-21
Duncan Elliott	Statutory Academic Staff	Engineering	30-Jun-20
Leijun Li	Statutory Academic Staff	Engineering	30-Jun-19
Mark Loewen	Statutory Academic Staff	Engineering	30-Jun-19
Marc Secanell	Statutory Academic Staff	Engineering	30-Jun-19
Rob McMahon	Statutory Academic Staff	Extension	30-Jun-20
Pirkko Markula	Statutory Academic Staff	Kinesiology, Sport and Recreation	30-Jun-21
Shannon O'Byrne	Statutory Academic Staff	Law	30-Jun-21
Jason Acker	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Tarek El-Bialy	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Basil Hubbard	Statutory Academic Staff	Medicine and Dentistry	30-Jun-21
Pierre Lemelin	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19
Sean McMurtry	Statutory Academic Staff	Medicine and Dentistry	30-Jun-21
Laurie Mereu	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line "Terms of Reference" documentation, specific to each committee.

Sue-Ann Mok	Statutory Academic Staff	Medicine and Dentistry	30-Jun-21
Vivian Mushahwar	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Georg Schmolzer	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Richard Schulz	Statutory Academic Staff	Medicine and Dentistry	30-Jun-21
Kim Solez	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19
Amy Tse	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19
Dilini Vethanayagam	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Jonathan White	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19
Ian Winship	Statutory Academic Staff	Medicine and Dentistry	30-Jun-20
Erin Wright	Statutory Academic Staff	Medicine and Dentistry	30-Jun-19
Adam Gaudry	Statutory Academic Staff	Native Studies	30-Jun-19
Susan Sommerfeldt	Statutory Academic Staff	Nursing	30-Jun-21
John Seubert	Statutory Academic Staff	Pharmacy and Pharmaceutical Sciences	30-Jun-20
Dean Eurich	Statutory Academic Staff	Public Health, School of	30-Jun-19
Mary Forhan	Statutory Academic Staff	Rehabilitation Medicine	30-Jun-21
W. Ted Allison	Statutory Academic Staff	Science	30-Jun-21
Jeff Birchall	Statutory Academic Staff	Science	30-Jun-19
Al Meldrum	Statutory Academic Staff	Science	30-Jun-19
Roger Moore	Statutory Academic Staff	Science	30-Jun-21
Lisa Stein	Statutory Academic Staff	Science	30-Jun-19
Eleni Stroulia	Statutory Academic Staff	Science	30-Jun-21
Bruce Sutherland	Statutory Academic Staff	Science	30-Jun-19
Vacancy	Statutory Academic Staff	Engineering	

STATUTORY STUDENT - UNDERGRADUATE (Two Students Nominated by Students' Council) PSLA Section 23 (c) (i)			
Akanksha Bhatnagar	Student Nominated by UG Council of Students	VP Academic (Students' Union)	30-Apr- 19
Andre Bourgeois	Student Nominated by UG Council of Students	VP Student Life (Students' Union)	30-Apr- 19

STATUTORY STUDENT - GRADUATE (One Student Nominated by Graduate Students' Association) PSLA Section 23 (c) (ii)			
Masoud Aliramezani	Student Nominated Graduate Students' Association	VP Academic (Graduate Students' Association)	30-Apr- 18

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line "Terms of Reference" documentation, specific to each committee.

APPOINTED MEMBERS (Undergraduate Students) PSLA Section 23 (d) in accordance to Section 25			
Brandi Kobes	Undergraduate Student Member	Agricultural, Life and Environmental Sciences	30-Apr-19
Erin Allin	Undergraduate Student Member	Arts	30-Apr-19
Robert Bilak	Undergraduate Student Member	Arts	30-Apr-19
Yiming Chen	Undergraduate Student Member	Arts	30-Apr-19
Mariam Hosseiny	Undergraduate Student Member	Arts	30-Apr-19
Mpoe Mogale	Undergraduate Student Member	Arts	30-Apr-19
Dustin Sandler	Undergraduate Student Member	Arts	30-Apr-19
Melinda Chisholm	Undergraduate Student Member	Business, Alberta School of	30-Apr-19
John Hussein	Undergraduate Student Member	Business, Alberta School of	30-Apr-19
Luke Statt	Undergraduate Student Member	Business, Alberta School of	30-Apr-19
Tahra Haddouche	Undergraduate Student Member	Faculte Saint-Jean	30-Apr-19
Ayman Adwan	Undergraduate Student Member	Engineering	30-Apr-19
Amlan Bose	Undergraduate Student Member	Engineering	30-Apr-19
Ryan Holowaty	Undergraduate Student Member	Engineering	30-Apr-19
Cindy Liang	Undergraduate Student Member	Engineering	30-Apr-19
Syed Mustafa	Undergraduate Student Member	Engineering	30-Apr-19
Janet Yao	Undergraduate Student Member	Engineering	30-Apr-19
David Chung	Undergraduate Student Member	Law	30-Apr-19
Albert Hu	Undergraduate Student Member	Medicine and Dentistry	30-Apr-19
Nathan Sunday	Undergraduate Student Member	Native Studies	30-Apr-19
Abigail Bridarolli	Undergraduate Student Member	Nursing	30-Apr-19
Anthony Nguyen	Undergraduate Student Member	Nursing	30-Apr-19
Miray Aizouki	Undergraduate Student Member	Pharmacy and Pharmaceutical Sciences	30-Apr-19
Joel Agarwal	Undergraduate Student Member	Science	30-Apr-19
Tiffany Bruce	Undergraduate Student Member	Science	30-Apr-19
Julia Craig	Undergraduate Student Member	Science	30-Apr-19
Hyejun Kim	Undergraduate Student Member	Science	30-Apr-19
Ivy Porter	Undergraduate Student Member	Science	30-Apr-19
Shuaa Rizvi	Undergraduate Student Member	Science	30-Apr-19
Rachel Wang	Undergraduate Student Member	Science	30-Apr-19
Vacancy	Undergraduate Student Member	Agricultural, Life and Environmental Sciences	

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line "Terms of Reference" documentation, specific to each committee.

Vacancy	Undergraduate Student Member	Arts	
Vacancy	Undergraduate Student Member	Arts	
Vacancy	Undergraduate Student Member	Augustana Campus	
Vacancy	Undergraduate Student Member	Education	
Vacancy	Undergraduate Student Member	Education	
Vacancy	Undergraduate Student Member	Education	
Vacancy	Undergraduate Student Member	Education	
Vacancy	Undergraduate Student Member	Kinesiology, Sport, and Recreation	
Vacancy	Undergraduate Student Member	Science	

APPOINTED MEMBERS (Graduate Students) PSLA Section 23 (d) in accordance to Section 25			
Saleema Allana	Graduate Student Member	Nursing	30-Apr-19
Vahid Ayan	Graduate Student Member	Business, Alberta School of	30-Apr-19
Bishoi Aziz	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Meijun Chen	Graduate Student Member	Arts	30-Apr-19
Natalie Diether	Graduate Student Member	Agricultural, Life and Environmental Sciences	30-Apr-19
Gautam Gaur	Graduate Student Member	Agricultural, Life and Environmental Sciences	30-Apr-19
Osman Hojanepesov	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Taher Jafferjee	Graduate Student Member	Science	30-Apr-19
Maryam Kebbe	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Braulio Garza	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Carmel Montgomery	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Sabitha Rajaruban	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Allan (Yilun) Wu	Graduate Student Member	Medicine and Dentistry	30-Apr-19
Ding Xu	Graduate Student Member	Arts	30-Apr-19

APPOINTED MEMBERS (GFC Terms of Reference) in accordance to PSLA Section 23 (d) under PSLA Section 25			
Sasha van der Klein	Board of Governors Representative	President (Graduate Students' Association)	30-Apr-19
Reed Larsen	Board of Governors Representative	President (Students' Union)	30-Apr-19
Levi Flaman	Board of Governors Representative	Undergraduate Student Appointee	30-Apr-19

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line "Terms of Reference" documentation, specific to each committee.

Donna Wilson	Board of Governors Representative	AASUA Appointee	25-Nov-21
Matthew Barnett	Board of Governors Representative	NASA Appointee	11-Apr-20
Katherine Binhammer	Board of Governors Representative	GFC Appointee	30-Jun-20
Andrei Tabirca	Non-Academic Staff Representative	Nominated by NASA	30-Jun-21
Shannon Erichsen	Non-Academic Staff Representative	Nominated by NASA	30-Jun-20
Janice Kung	University Library Academic Staff Representative	University of Alberta Libraries	30-Jun-21
Amanda Wakaruk	University Library Academic Staff Representative	University of Alberta Libraries	30-Jun-19
Janet Williamson	University Library Academic Staff Representative	University of Alberta Libraries	30-Jun-20
Vacancy	Academic Staff (APO) Representative	APO (Nominated by AASUA)	
Vacancy	Academic Staff (FSO) Representative	FSO (Nominated by AASUA)	
Vacancy	Academic Teaching Staff (ATS) Representative	ATS (Nominated by AASUA)	
Vacancy	Academic Teaching Staff (ATS) Representative	ATS (Nominated by AASUA)	
Vacancy	Non-Academic Staff Representative	Non-NASA Representative	

ADDITIONAL APPOINTEES			
André Costopoulos	Vice-Provost and Dean of Students	Office of the Provost and Vice-President (Academic)	30-Jun-21
Kevin Kane	AASUA President	Additional Appointee	30-Jun-19
Shawn Flynn	St. Joseph's College Representative	Academic Dean	30-Jun-20
Vacancy	Chairs' Council Representative	Chairs' Council/Chairs' Council Executive	

Meg Brolley, GFC Secretary

PLEASE NOTE: For the approved committee membership composition, please view the on-line "Terms of Reference" documentation, specific to each committee.

Governance Executive Summary
Discussion Item

Agenda Title	Workplace Impairment Policy and Procedures
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Item

Action Requested	<input checked="" type="checkbox"/> Discussion
Proposed by	Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources)
Presenter(s)	Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources) Marj Cayford, Senior HR Partner, Human Resource Services

Details

Responsibility	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
The Purpose of the Proposal is <i>(please be specific)</i>	The framework is presented in order to engender feedback and support for the policy and each of the procedures submitted, which have been developed upon extensive consultation.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The Workplace Impairment Policy and related procedures (Workplace Impairment Disclosure and Reporting Procedure, the Managing Impairment in Safety-Sensitive Positions Procedure, and the Drug Testing Procedure) have been developed in order to support a safe, healthy and productive work environment for all faculty, staff, postdoctoral fellows and students and to mitigate risks that the inappropriate use of alcohol, cannabis, medications, substances and other workplace impairments could have on staff, property, research and reputation.</p> <p>The proposed Workplace Impairment Policy includes:</p> <ul style="list-style-type: none"> • expectations for attending work fit for duty and free from the negative effects of alcohol and other drugs, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue; • standards and expectations around alcohol and drug use in the workplace, and the procedures that will be followed to investigate possible violations of these standards; • reinforcement of the University’s commitment to ensure that faculty and staff with alcohol and/or drug dependency or other health condition that may cause impairment and impact fitness for work are provided with assistance and appropriate accommodation in employment in accordance with applicable policy and human rights legislation; and • guidance on the management of risks associated with impairment in the workplace.
Supplementary Notes and context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Wayne Patterson, Vice-Provost and Associate Vice-President (Human Resources) • Gerry McCune, Director, Organizational Development, Equity and Health • Marj Cayford, Senior Human Resources Partner <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • President’s Executive Committee – Operational • Deans • Association of Academic Staff University of Alberta (AASUA) • Non-Academic Staff Association (NASA) • Postdoctoral Fellows Association • Graduate Students Association (GSA) • University of Alberta Protective Services (UAPS) • Human Resource Services • Environmental Health & Safety • Managers/supervisors from faculties and departments on all campuses, in particular those with prevalent safety-sensitive work • Field Law (legal review) <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • N/A
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee General Faculties Council Board Human Resources and Compensation Committee Board Safety, Health, and Environment Committee Board of Governors</p>

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<p>SUSTAIN. Objective 19 iii) Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses.</p>			
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p><i>Post-Secondary Learning Act</i> GFC Executive Committee Terms of Reference <i>Occupational Health and Safety Act, Cannabis Act, Alberta Human Rights Act, Freedom of Information and Protection of Privacy Act</i></p>			

Attachments:

- Attachment 1: Briefing Note - Workplace Impairment Policy Development Feb 2019 (2 pages)
- Attachment 2: DRAFT Workplace Impairment Policy (7 pages)
- Attachment 3: DRAFT Workplace Impairment Disclosure and Reporting Procedure (4 pages)

Item No. 8

Attachment 4: DRAFT Managing Impairment in Safety-Sensitive Positions Procedure (4 pages)

Attachment 5: DRAFT Drug Testing Procedure (4 pages)

Prepared by: Giovana Bianchi, Senior Administrative Officer, Finance and Administration,
giovana.bianchi@ualberta.ca

Workplace Impairment Policy Development

February 2019

PEC-O approved the development of a *Workplace Impairment Policy* in March 2018 in order to support a safe, healthy and productive work environment for all faculty, staff, postdoctoral fellows and students and to mitigate risks that the inappropriate use of alcohol, cannabis, medications, substances¹ and other workplace impairments could have on staff, property, research and reputation. Human Resource Services (HRS) is leading the development of this policy framework.

The lack of a comprehensive Workplace Impairment Policy framework creates risks and liabilities that must be considered including:

- impaired performance and/or productivity, workplace accidents and impaired decision-making which could affect an individual, co-workers, the public, equipment and infrastructure, finances and reputation;
- absenteeism, workers' compensation costs and disability health benefits costs; and
- legal liability and associated costs.

The proposed Workplace Impairment Policy includes:

- expectations for attending work fit for duty and free from the negative effects of alcohol and other drugs, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue;
- standards and expectations around alcohol and drug use in the workplace, and the procedures that will be followed to investigate possible violations of these standards;
- reinforcement of the University's commitment to ensure that faculty and staff with alcohol and/or drug dependency or other health condition that may cause impairment and impact fitness for work are provided with assistance and appropriate accommodation in employment in accordance with applicable policy and human rights legislation; and
- guidance on the management of risks associated with impairment in the workplace.

Key stakeholders consulted in the policy development include: AASUA, NASA, Postdoctoral Fellows Association, Graduate Students Association, University Protective Services, Human Resource Services, Environmental Health & Safety, and managers/supervisors from faculties and departments on all campuses, in particular those where safety-sensitive work is prevalent. Legal review by Field Law was completed in November and December 2018.

The policy and procedures have been provided to the four (4) staff associations for comments. Final revisions will be complete before full GFC on February 25, 2019.

Administrative review commenced in December and will continue through early March, including: PEC-O (Dec. 13, 2018), PEAC (Jan. 7, 2019), VPC (Jan. 14, 2019), Deans' Council (Feb. 6, 2019) and ASC (March 4, 2019).

Governance review began during the November/December cycle and will continue through February/March and April/May including: GFC Exec (Nov 19, 2018 and Feb 11, 2019), GFC (Nov 26, 2018 and Feb 25, 2019), BHRCC (April 16, 2019), BSHEC (April 24, 2019), BOG for approval (May 10, 2019).

The targeted implementation date for the new policy suite is spring/summer 2019.

¹ *Substances of concern include: illicit drugs, medications (prescribed or over the counter), solvents, inhalants or any other substance that may change or adversely affect the way a person thinks, feels, acts, or otherwise has the potential to impair an individual's ability to perform their job safely and productively.*

Contacts:

Wayne Patterson; Vice-Provost and Associate Vice President (Human Resources)

wayne.patterson@ualberta.ca 780-492-6109

Gerry McCune; Director, Organizational Development, Equity and Health

gmcune@ualberta.ca 780-492-5399

Marj Cayford; Senior Human Resources Partner

marj.cayford@ualberta.ca 780-248 1183

Original Approval Date: (Effective Date:) **Most Recent Approval Date:**
Most Recent Editorial Date: DRAFT: January 22, 2019

Workplace Impairment Policy

Office of Accountability:	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Human Resource Services
Approver:	Board of Governors (Board Human Resource and Compensation Committee)
Scope:	Compliance with this University policy extends to all faculty and staff, including volunteers and contractors.

Overview

The University of Alberta has an obligation to provide a safe, healthy and productive work environment for all faculty and staff. **Impairment** in the **workplace** can affect employee performance, have significant adverse impacts, and create risk to people, property, research and reputation.

All members of the **University community** are responsible for health and safety in the workplace. Occupational health and safety legislation imposes general duties on employers, contractors, and **managers/supervisors** to provide a safe work environment and take all reasonable precautions to protect the health and safety of faculty and staff and others in the workplace. Faculty and staff also have obligations under the legislation to protect their own safety and the health and safety of others at the worksite.

This policy is guided by the following principles.

- a. Every person has the right to a safe and reliable workplace.
 - b. Along with the University, faculty and staff have a legal and moral responsibility to ensure their own safety and the safety of others.
 - c. Substance addictions are illnesses which can respond to therapy and treatment. The University is committed to employee safety, health and wellness and will assist employees in obtaining treatment for such illnesses.
 - d. Legislation and University policy and procedures regarding the confidentiality of personal information, including medical information, will be adhered to.
 - e. The University has an institutional responsibility to:
 - i. establish and promote awareness of effective policies and procedures to support safety in the workplace, and
 - ii. provide resources to implement such policies and procedures.
-

Purpose

The purpose of this policy is to outline the responsibilities and expectations associated with workplace impairment and fitness for work. This policy is intended to:

- a. help ensure the health and safety of faculty and staff and the safety of students, visitors, and members of the public by requiring faculty and staff to report **fit for work**, which includes being free from the negative effects of alcohol and other **drugs**, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue;
- b. set out standards and expectations around alcohol and drug use in the workplace, and the procedures that will be followed to investigate possible violations of these standards;
- c. reinforce the University's commitment to ensure that faculty and staff with alcohol and/or drug addiction or other related disabilities are provided with assistance and appropriate accommodation in employment in accordance with applicable policy and human rights legislation;
- d. guide the management of risks associated with impairment in the workplace.

POLICY

1. All members of the University of Alberta community have a responsibility to ensure a safe and effective working environment.
2. All faculty and staff must perform their job in a safe manner consistent with established University of Alberta standards, procedures, policies and/or practices and in compliance with applicable legislation.
3. The University is committed to ensuring that no faculty or staff creates a risk for themselves and/or others or to the environment, physical infrastructure and/or equipment as a result of impairment.
4. Faculty and staff must be fit for work and must notify their supervisor if they are not fit for work for any reason, including impairment or potential impairment.

5. RESPONSIBILITIES

Members of the University community may have multiple roles as described below.

- a. Senior leaders, including the President, Vice-Presidents, Vice-Provosts, Associate Vice-Presidents, Deans, Directors, and Chairs and other officers of the University exercise administrative responsibility to implement this policy and the related procedures within their respective areas of responsibility.
- b. Managers and supervisors are responsible for:
 - i. ensuring safe work environments within their respective faculty, department or unit as per Occupational Health and Safety legislation;
 - ii. understanding their role and the University's policies and procedures related to impairment in the workplace;
 - iii. identifying **safety-sensitive positions** and duties within their respective faculty, department or unit according to the criteria outlined in the *Managing Impairment in Safety Sensitive Positions Procedure*
 - iv. ensuring that contractors and/or volunteers are made aware of University policies in relation to impairment and safety in the workplace;

- v. promptly addressing actual or perceived impairment in the workplace in accordance with University policy, procedures, legislation or applicable collective agreements;
 - vi. attending any training and awareness programs that the University may recommend or direct, related to effects of use and abuse of alcohol or drugs and recognizing signs of impairment;
 - vii. supporting faculty and staff who are seeking assessment, counselling, referral and support programs where addiction may be a concern; and
 - viii. maintaining appropriate privacy and confidentiality related to alcohol or drug use and/or medical information about a faculty or staff member.
- c. Faculty and staff are expected to:
- i. perform their duties in a safe manner and in all ways consistent with established University of Alberta standards, procedures, policies and/or practices and in compliance with applicable legislation.;
 - ii. read, understand and adhere to this policy and their responsibilities under it;
 - iii. recognize if their position or assigned duties would be considered safety-sensitive based on the criteria outlined in the *Managing Impairment in Safety Sensitive Positions Procedure*
 - iv. proactively take all reasonable steps to obtain information about and understand the potential impairing effects of any drug they consume, in terms of impairment in the workplace generally and specific to their position and duties, including but not limited to seeking the advice of physicians and/or pharmacists;
 - v. report and remain fit for work during **work time**;
 - vi. immediately advise their supervisor if they know or reasonably ought to know or suspect that they are unfit for work for any reason;
 - vii. co-operate with any work modification related to their fitness for work;
 - viii. notify their supervisor or a management representative if they believe a co-worker, supervisor/ manager, other faculty or staff member, contract worker, or volunteer is not fit for work during work time;
 - ix. manage personal factors which impact their ability to perform their duties unimpaired and to the full extent of their capability;
 - x. seek advice and follow appropriate treatment if they have a current or emerging substance addiction, and follow recommended monitoring programs after attending treatment; and
 - xi. fully cooperate with an investigation into a violation of this policy or associated procedures.
- d. Human Resource Services is responsible for:
- i. supporting departments and units in the interpretation and application of this policy and related guidelines;
 - ii. informing the appropriate stakeholders when substantive changes to the policy occur;
 - iii. providing supervisors, faculty, and staff with information related to use or abuse of alcohol or drugs;
 - iv. support the development of training and/or resources to assist supervisors to recognize signs of impairment; and
 - v. support supervisors in managing performance concerns.
- e. Environment, Health and Safety will support departments and units in the interpretation and application of this policy and related procedures as it relates to the Occupational Health and Safety Act.

7. DRUG TESTING

The University may require **drug testing** for faculty and staff in a safety-sensitive position (which includes positions with safety-sensitive duties) in the following circumstances:

- a. Post-Incident - as part of an investigation into a **significant incident or near miss** where impairment is a suspected cause.
- b. **Reasonable suspicion** - where the faculty or staff member exhibits observable signs of impairment during work time
- c. Pursuant to a reinstatement monitoring agreement, a continued employment agreement, or any other agreement entered into by the University, the employee and (where applicable) the employee's union or association.

8. ADDICTIONS, ASSISTANCE AND SUPPORT

Employees who are or suspect they are experiencing a substance addiction problem that is or is reasonably likely to affect their job performance or cause a violation of this policy are required to disclose that to their supervisor or the University's third party disability management provider before their job performance is affected or a violation of the policy occurs. Where the employee has made such a disclosure, they shall provide objective medical evidence of the addiction satisfactory to the University's third party disability management provider. If an addiction is established by the medical evidence, the University will reasonably accommodate the medical condition in accordance with applicable law, including allowing the employee to take appropriate leave for treatment.

If an employee discloses to their supervisor or the University's third party disability management provider and seeks assistance for a substance addiction problem before a violation of the policy occurs, the employee will not be disciplined for such disclosure and seeking such assistance. However, where an employee violates the policy but has not expressly disclosed or sought assistance for a substance dependency problem in accordance with the policy before that violation of the policy, then that violation may be grounds for disciplinary action.

9. FAILURE TO COMPLY

Any person who fails to fulfill the requirements of this policy and its associated procedures may be subject to disciplinary and other action pursuant to any applicable collective and other agreements, legislation or University policy, up to and including termination of employment and prosecution if appropriate.

DEFINITIONS

Any definitions listed in the following table apply to this document and its related policies and procedures only with no implied or intended institution-wide use. [\[▲Top\]](#)

Drug	<p>Any substance, including but not limited to alcohol, cannabis, illicit drugs or medications (prescribed or over-the-counter), or other mood-altering substance, the use of which has the potential to change or adversely affect the way a person thinks, feels or acts. For purposes of this policy, drugs of concern are those that affect whether an employee is fit for work.</p> <p><u>Alcohol</u> refers to beer, wine and distilled spirits, and includes the alcohol found in medicines or other products.</p> <p><u>Cannabis</u> refers to a cannabis plant or bi-product of a cannabis plant obtained legally for recreational use or medicinal use.</p> <p><u>Illicit Drug</u> means any drug or substance whose use, sale, possession, purchase or transfer is restricted or prohibited by law.</p> <p><u>Medication</u> refers to a drug obtained legally, either over-the-counter or through a doctor's prescription or appropriate authorization, designed to remedy, control or prevent illness. For clarity, in the case of medicinal cannabis, the employee must have an authorization for use to the extent such authorization is required by law for medicinal use.</p>
Drug Testing	<p>A test that examines a person's blood, urine, breath alcohol, saliva or other sample to determine the presence of impairing substances in the body.</p>
Fit for Work	<p>Refers to an employee's ability to maintain a physical, mental and emotional state that enables them to perform the physical and mental demands of their job and/or duties safely, effectively, and in a manner that does not increase risk to themselves and others or the University. This includes being free from impairment by alcohol or drugs, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue.</p>
Impairment	<p>The state of being unable to function normally or safely, including not being fit for work because of intoxication by alcohol or drugs.</p>
Manager/Supervisor	<p>A person who has charge of a workplace or authority over a worker. (Occupational Health & Safety Act)</p>
Reasonable Suspicion	<p>Inference based on circumstances, observations and/or reports that indicate impairment in the workplace may be present or that the employee is under the influence of alcohol or drugs.</p>

Safety-Sensitive Position	Position where some or all of the work duties and operational processes have the potential, if performed improperly, for a significant incident or near miss. A safety-sensitive position includes positions where only certain duties are safety-sensitive.
Significant Incident or Near Miss	Refers to an unplanned event, circumstance or condition that caused or had the potential to cause damage or injury to person, property, reputation, security or the environment.
University Community	Includes all academic staff and colleagues, administrators and support staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B) as well as third party contractors, visiting speakers, volunteers, professors emeriti, undergraduate students, graduate students, postdoctoral fellows and visitors.
Work time	The period of time when the employee is expected to perform or be ready to perform any duties of their position. This includes all breaks, both scheduled and unscheduled time, and generally any time that the employee is engaged in work, activity or travel in their capacity as a University of Alberta employee.
Workplace	Any place where faculty, staff, contractors, or volunteers of the University of Alberta perform work as part of their assigned responsibilities.

RELATED LINKS

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

Supports and Resources

<links>

Information

[Occupational Health and Safety Act](#)

[Freedom of Information and Protection of Privacy Act](#)

[Alberta Human Rights Act](#)

Related Policies

[Disability Management/Health Recovery Support Policy](#)

[Discrimination Harassment and Duty to Accommodate Policy](#)

[Employee and Family Assistance \(EFAP\) Policy](#)

[Environment, Health and Safety Policy](#)

[Helping Individuals at Risk Policy](#)

[Hospitality, Working Sessions/Committee Meetings and University Employee Functions Procedure](#)

[Alcohol Policy](#)

PUBLISHED PROCEDURES OF THIS POLICY

Managing Impairment in Safety-Sensitive Positions Procedure

Workplace Impairment Disclosure and Reporting Procedure

Drug Testing Procedure

Original Approval Date: (Effective Date:) Most Recent Approval Date:
 Most Recent Editorial Date: **DRAFT: January 22, 2019**

Workplace Impairment Disclosure and Reporting Procedure

Office of Accountability:	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Human Resource Services
Approver:	Board of Governors (Board Human Resource and Compensation Committee)
Scope:	Compliance with this University policy extends to all faculty and staff, including volunteers and contractors.

Overview

Ensuring a **workplace** is free from impairment requires a combination of workplace observation, **employee** disclosure, and reporting potential impairment. This is important in all positions, and is a priority in **safety sensitive positions**.

All employees must report **fit for work**. This disclosure and reporting procedure outlines the requirements for employees to self-disclose potential workplace impacts of alcohol and drugs or impairing conditions and to report any suspected impairment in the workplace to their supervisor.

Self-disclosure and reporting that an employee is not fit for work is required for all employees, and is particularly critical for safety-sensitive positions.

Purpose

The purpose of this procedure is to outline how an employee can self-disclose and/or report impairment in the workplace.

PROCEDURE

1. EMPLOYEE SELF-DISCLOSURE

- a. Employees must report fit for work.
 - b. When an employee is not fit for work for any reason, they must disclose it to their supervisor prior to conducting work, particularly if engaged in safety-sensitive duties.
 - c. Employees are required to inform their supervisor of any over-the-counter, prescription or authorized drug use that could reasonably be expected (based on consultation with their physician/ pharmacist) to cause **impairment** during **work time**. In such situations, employees are expected to provide sufficient information and documentation to the University's third party disability management provider.
-

- d. An employee who discloses that they are not fit for work is not required to disclose to the Employer, the specific cause of the impairment, the substance used, the medical condition, or medication used that is causing the impairment.
- e. Supervisors and managers must assess the risk when an employee discloses that they are not fit for work or that they are using drugs that could reasonably be expected to cause impairment during work time, and determine how to ensure safety and satisfaction of operational needs. An employee who discloses that they are not fit for work due to impairment may be re-assigned to alternate duties or may be removed from the work site.
- f. Information from the employee's physician may be requested to identify the existence or extent of any impairment or risk of impairment, whether an employee can conduct certain tasks, how certain drugs used by the employee impact or could impact their fitness for work and how long any reassignment of duties may be required.
- g. Employees who disclose that they are experiencing a substance addiction will be required to provide objective medical evidence of the addiction satisfactory to the University's third party disability management provider.

2. REPORTING IMPAIRMENT

- a. Any individual who witnesses impairment in the workplace or has a reasonable basis to believe that an employee may be impaired is expected to report the impairment or suspected impairment to their supervisor, a manager, or one of the following offices: Human Resource Services, Faculty and Staff Relations, University of Alberta Protective Services, or Environment Health and Safety.
- b. When an individual reports suspected impairment in the workplace, supervisors and management must look into the concern and take appropriate action.
- c. Where there is **reasonable suspicion** that an employee in a safety-sensitive position (including having certain safety-sensitive duties) is impaired, the employee will be immediately re-assigned to alternate duties or may be removed from the work site pending further investigation and information being obtained.
- d. The University will not tolerate any reprisal, directly or indirectly, against anyone who, in good faith, makes a report or is a witness to a report.
- e. The University also recognizes the serious nature of reports that are made in bad faith and it may take disciplinary action should reports be shown to be malicious, frivolous, fraudulent, or vexatious. Submitting a report in good faith is not a violation of this policy.

3. FAILURE TO COMPLY

Any person who fails to fulfill the requirements of this procedure may be subject to disciplinary and other action pursuant to any applicable collective and other agreements, legislation or University policy, up to and including termination of employment and prosecution if appropriate.

4. PRIVACY

Any **personal information** (including health information) collected, used or disclosed under this procedure will occur only in compliance with the Freedom of Information and Protection of Privacy Act and the University's related Access to Information and Protection of Privacy Procedure and Policy.

DEFINITIONS

Any definitions listed in the following table apply to this document and its related policies or procedures only with no implied or intended institution-wide use. [▲Top]	
Employee	Includes academic staff, support staff, excluded staff, management, administrators, student staff, post-doctoral fellows, contractors, volunteers, or other staff.
Fit for Work	Refers to an employee's ability to maintain physical, mental and emotional state, that enables them to perform the physical and mental demands of their job and/or duties safely, effectively, and in a manner that does not increase risk to themselves and others or the University. This includes being free from impairment by any alcohol or drugs, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue.
Impairment	The state of being unable to function normally or safely, including not being fit for work because of intoxication by alcohol or drugs.
Manager/Supervisor	A person who has charge of a workplace or authority over a worker. (Occupational Health & Safety Act)
Personal Information	<p>Personal information means recorded information about an identifiable individual. This includes information such as the individual's:</p> <ul style="list-style-type: none"> a. name and contact information, age, and gender; b. student or employee ID #, or other identifying number; c. application for employment, salary, employment evaluations, and other employment history; d. grades, assignments, and other educational history; e. health information or financial information; f. race, national or ethnic origin, or colour; g. religious or political beliefs or associations; h. marital status or family status; i. biometric information; and j. criminal history. <p>These are examples only, and not a comprehensive list. Further examples of personal information are set out in the Appendix to Access to Information and Protection of Privacy Procedure.</p>
Reasonable Suspicion	Inference based on circumstances, observations and/or reports that indicate impairment in the workplace may be present or that the employee is under the influence of alcohol or drugs.

Safety-Sensitive Position	Positions where some or all of the work duties and operational processes have the potential, if performed improperly, for a significant incident or near miss. A safety-sensitive position includes positions where only certain duties are safety-sensitive.
Significant Incident or Near Miss	Refers to an unplanned event, circumstance or condition that caused or had the potential to cause damage or injury to person, property, reputation, security or the environment.
Work time	The period of time when the employee is expected to perform or be ready to perform any duties of their position. This includes all breaks, both scheduled and unscheduled time, and generally any time that the employee is engaged in work, activity or travel in their capacity as a University of Alberta employee.
Workplace	Any place where faculty, staff, contractors, or volunteers of the University of Alberta perform work as part of their assigned responsibilities.

RELATED LINKS

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[Access to Information and Protection of Privacy Policy](#)

[Access to Information and Protection of Privacy Procedure](#)

Original Approval Date: (Effective Date:) Most Recent Approval Date:
 Most Recent Editorial Date: **DRAFT: January 22, 2019**

Managing Impairment in Safety-Sensitive Positions Procedure

Office of Accountability:	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Human Resource Services
Approver:	Board of Governors (Board Human Resource and Compensation Committee)
Scope:	Compliance with this University policy extends to all faculty and staff, including volunteers and contractors.

Overview

Safety sensitive positions are particularly susceptible to increased risk due to **impairment** in the **workplace**. It is important to properly define and identify safety-sensitive positions and ensure employees are educated, trained, and aware of their responsibilities related to being **fit for work** and reporting workplace impairment.

It is important to delineate the line between personal time and **work time**. Regardless of what an employee does on their personal time, they must report fit for work and remain fit for work during work time. This is particularly important in a safety-sensitive position, where their actions, reactions, decisions, or judgement could cause significant injury or harm to themselves or others.

Purpose

The purpose of this procedure is to outline the requirements for managing impairment in safety-sensitive positions and for safety-sensitive duties. This includes identifying safety-sensitive positions as well as educating and training employees on dangers of impairment when performing safety-sensitive work. Through a combination of awareness, supervisor observation, employee self-reporting, and employees watching out for one another, the University can achieve a workplace that is free from impairment and lower the risk of harm to faculty, staff, students, visitors and members of the public, and/or University property.

PROCEDURE

1. IDENTIFICATION OF SAFETY-SENSITIVE POSITIONS AND DUTIES

Managers/supervisors of each department/unit must identify positions and duties that are considered safety-sensitive. In order to be considered safety-sensitive, the position or duties must meet any one of criteria outlined below.

In some cases a position may not be considered safety-sensitive (e.g. office work) but may have certain duties which are safety-sensitive, such as occasionally driving a motor vehicle. These duties

must be identified as safety-sensitive, and for purposes of this procedure make the position a safety-sensitive position.

The criteria for identification of safety-sensitive positions and duties include:

- a. Use and maintenance of equipment, machinery, or powered tools (e.g. chainsaw, pneumatic-actuated tools, welding equipment)
- b. Transport, handling or use of hazardous materials including, but not limited to: flammable, corrosive, dangerously reactive, toxic, biological materials, radioactive materials, designated equipment.
- c. Work in high hazard areas (e.g. work at heights, confined spaces, rigging, working near heavy equipment, high pressure systems, high voltage, or high vehicle traffic areas).
- d. Working in potentially dangerous environments (e.g. working alone, field work, remote locations, laboratories).
- e. Positions or duties in which there is a reasonable expectation for duty of care to students, staff, the general public, or animals (some examples include aquatics, first aiders, peace officers, first responders, volunteer coordinators, summer camp leaders, physicians, nurses, psychologists, dentists, pharmacists, veterinarians, animal technicians).
- f. Operation of motorized equipment (e.g. driving a vehicle, or operating heavy machinery).
- g. Decision-critical positions or duties related to health and safety in which critical decisions could affect the safe operation of the University (e.g. installation, maintenance or monitoring of life safety systems such as fire alarm systems, supervisors of safety-sensitive positions. operation and care of utilities).

2. JOB FACT SHEETS AND/OR POSITION DESCRIPTIONS

Employees in safety-sensitive positions must be made aware that their position or specific duties are considered safety-sensitive, either through verbal notification and explanation or through appropriate notation on the job fact sheet/position description, or both. Whether an employee has been told their position is safety-sensitive is not by itself determinative of whether they know or ought to know that it is.

3. EDUCATE EMPLOYEES ON THEIR RESPONSIBILITIES

Managers and supervisors must take reasonable steps to ensure employees in safety-sensitive positions or with safety-sensitive duties have adequate education, training, and awareness of their responsibilities related to being fit for work and reporting workplace impairment in accordance with University policies and procedures.

DEFINITIONS

Any definitions listed in the following table apply to this document and its related policies and procedures only with no implied or intended institution-wide use. [\[▲Top\]](#)

Drug	Any substance, including but not limited to alcohol, cannabis, illicit drugs or medications (prescribed or over-the-counter), or other mood-altering substance, the use of which has the potential to
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	<p>change or adversely affect the way a person thinks, feels or acts. For purposes of this policy, drugs of concern are those that affect whether an employee is fit for work.</p> <p><u>Alcohol</u> refers to beer, wine and distilled spirits, and includes the alcohol found in medicines or other products.</p> <p><u>Cannabis</u> refers to a cannabis plant or bi-product of a cannabis plant obtained legally for recreational use or medicinal use.</p> <p><u>Illicit Drug</u> means any drug or substance whose; use, sale, possession, purchase or transfer is restricted or prohibited by law.</p> <p><u>Medication</u> refers to a drug obtained legally, either over-the-counter or through a doctor's prescription or appropriate authorization, designed to remedy, control or prevent illness. For clarity, in the case of medicinal cannabis, the employee must have an authorization for use to the extent such authorization is required by law for medicinal use.</p>
Fit for Work	Refers to an employee's ability to maintain a physical, mental and emotional state, that enables them to perform the physical and mental demands of their job and/or duties safely, effectively, and in a manner that does not increase risk to themselves and others or the University. This includes being free from impairment by any alcohol or drugs, the misuse of and/or failure to take medications as prescribed, excessive stress, and/or extreme fatigue.
Impairment	The state of being unable to function normally or safely, including not being fit for work because of intoxication by alcohol or drugs.
Manager/Supervisor	A person who has charge of a workplace or authority over a worker. (Occupational Health & Safety Act)
Safety-Sensitive Position	Position where some or all of the work duties and operational processes have the potential, if performed improperly, for a significant incident or near miss. A safety-sensitive position includes positions where only certain duties are safety-sensitive.
Significant Incident or Near Miss	Refers to an unplanned event, circumstance or condition that caused or had the potential to cause damage or injury to person, property, reputation, security or the environment.
Work time	The period of time when the employee is expected to perform or be ready to perform any duties of their position. This includes all breaks, both scheduled and unscheduled time, and generally any time that the employee is engaged in work, activity or travel in their capacity as a University of Alberta employee.

Workplace	Any place where faculty, staff, contractors, or volunteers of the University of Alberta perform work as part of their assigned responsibilities.
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[Occupational Health and Safety Act](#)

Original Approval Date: (Effective Date:) Most Recent Approval Date:
 Most Recent Editorial Date: **DRAFT: January 22, 2019**

Drug Testing Procedure

Office of Accountability:	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Human Resource Services
Approver:	Board of Governors (Board Human Resource and Compensation Committee)
Scope:	Compliance with this University policy extends to all faculty and staff, including volunteers and contractors.

Overview

Impairment in the **workplace** can increase the risk of employee actions causing damage or injury to persons, property, reputation, security or the environment. **Safety-sensitive positions** are particularly susceptible to increased risk due to impairment in the workplace. In order to effectively manage impairment in the workplace, **drug testing** may be required under certain circumstances.

It is important to delineate the line between personal time and **work time**. Employees are expected to report and remain **fit for work** during work time. This is particularly important in a safety-sensitive position, where their actions, reactions, decisions, or judgement could cause significant injury or harm to themselves or others.

Purpose

The purpose of this procedure is to outline the procedures that apply when determining when and how the University of Alberta will conduct drug testing on its employees. Drug testing is only one tool to assist in determining workplace impairment and will be used along with workplace observation, employee disclosure, reporting requirements, and employee behavior monitoring.

PROCEDURE

1. CIRCUMSTANCES IN WHICH DRUG TESTING MAY BE USED

The University of Alberta reserves the right to conduct drug testing in accordance with the *Workplace Impairment Policy where the faculty or staff member is in a safety-sensitive position (including positions with safety-sensitive duties)*. There are three scenarios in which the University may require drug testing :

- a) Post-Incident - as part of an investigation into a **significant incident or near miss** where impairment is a suspected cause.
 - b) **Reasonable suspicion** - where the faculty or staff member exhibits observable signs of impairment during work time.
-

- c) Pursuant to a reinstatement monitoring agreement, a continued employment agreement, or any other agreement entered into by the University, the employee and (where applicable) the employee's union or association.

Impairment during work time will typically be managed through observation, self-reporting, employee management, and a respectful workplace in order to maintain a high standard in safety sensitive positions, however drug testing may be used as a supplement to these measures in the noted circumstances.

The decision to conduct drug testing will be made by [who] on the recommendation of a manager or supervisor and in consultation with Human Resource Services.

2. CONDUCTING A DRUG TEST

Drug testing must be conducted as soon as practical upon the presentation of the applicable circumstances noted in this procedure and the related Workplace Impairment Policy. All drug tests will be completed by a third-party provider that specializes in workplace-related drug testing.

If an employee is required to submit to a test, they will be removed from duty until the test is complete and must remain under direct supervision until they are transported to and from the testing site.

3. STEPS FOLLOWING A NEGATIVE TEST

Where the drug test is negative for drugs that may have caused the employee to not be fit for work during work time, any concerns regarding employee behavior and workplace performance will be handled in accordance with the appropriate collective agreements University of Alberta policies.

4. STEPS FOLLOWING A POSITIVE TEST

Where the drug test is positive for drugs that may have caused the employee to not be fit for work during work time, the employee may be subject to disciplinary and other action pursuant to any applicable collective and other agreements, legislation or University policy, up to and including termination of employment and prosecution if appropriate. Typically any positive test will be considered in combination with surrounding circumstances including workplace observation and employee reporting, employee performance will be managed in accordance with the appropriate collective agreements and University of Alberta policies.

If an employee fails to report directly for a test, refuses to submit to a test upon request in accordance with this policy and related procedures, refuses to agree to disclosure of a test result to the University, attempts to tamper with a test sample or otherwise obstructs the testing process, they will be deemed to have tested positive.

5. PRIVACY

Any **personal information** (including health information) collected, used or disclosed under this procedure will occur only in compliance with the Freedom of Information and Protection of Privacy Act and the University's related Access to Information and Protection of Privacy Procedure and Policy.

DEFINITIONS

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Drug Testing	A test that examines a person's blood, urine, breath alcohol, saliva or other sample to determine the presence of impairing substances in the body.
Fit for Work	Refers to an employee's ability to maintain a physical, mental and emotional state that enables them to perform the physical and mental demands of their job and/or duties safely, effectively, and in a manner that does not increase risk to themselves and others or the University. This includes being free from impairment by any drugs.
Manager/Supervisor	A person who has charge of a workplace or authority over a worker. (Occupational Health & Safety Act)
Personal Information	<p>Personal information means recorded information about an identifiable individual. This includes information such as the individual's:</p> <ul style="list-style-type: none"> a. name and contact information, age, and gender; b. student or employee ID #, or other identifying number; c. application for employment, salary, employment evaluations, and other employment history; d. grades, assignments, and other educational history; e. health information or financial information; f. race, national or ethnic origin, or colour; g. religious or political beliefs or associations; h. marital status or family status; i. biometric information; and j. criminal history. <p>These are examples only, and not a comprehensive list. Further examples of personal information are set out in the Appendix to Access to Information and Protection of Privacy Procedure.</p>
Reasonable Suspicion	Inference based on circumstances, observations and/or reports that indicate impairment in the workplace may be present or that the employee is under the influence of alcohol or drugs.
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Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Report of the Campuses and Facilities Safety and Security (CFSS) Working Group
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Item

Proposed by	Gitta Kulczycki, Vice-President, Finance and Administration and Andrew Sharman, Vice-President, Facilities and Operations
Presenter	Rob Munro, Acting Associate Vice-President, Risk Management Services, and James Allen, Associate Vice-President, Operations and Maintenance

Details

Responsibility	Vice-President, Finance and Administration and Vice-President, Facilities and Operations
The Purpose of the Proposal is (please be specific)	The purpose of this item is to present the findings and recommendations of the CFSS Working Group and seek input from committee members prior to finalizing the group's report.
Executive Summary (<i>outline the specific item – and remember your audience</i>)	Beginning in the spring of 2018 and continuing to the end of the year, a working group consisting of representatives of administrative units, faculties, and staff and student associations, examined reasons for, and possible solutions to, increasing reports of crime in some areas of University of Alberta campuses. The working group found that, during more than a decade of significant building and population growth, gaps in safety and security infrastructure and practices have appeared. In response, the working group is recommending a multi-faceted approach that combines modifications to many spaces, improved use of technology, increases to University of Alberta Protective Services staffing, and comprehensive communications addressing safety and security habits among all members of the community.
Supplementary Notes and context	

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	Deans' Council – Jan 16, 2019 Graduate Students' Association – Jan 28, 2019 Students' Union – Jan 22, 2019 GFC Exec – Feb 11, 2019 PACC – Feb 19, 2019 GFC – Feb 25, 2019 Board Safety, Health and Environment Committee – February 27, 2019 International Student Advisory Committee – February 28, 2019 Administrative Strategic Council – March 5, 2019
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Strategic Alignment

Alignment with <i>For the Public Good</i>	Objective 19: Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives
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Item No. 9

<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p>	
<p>Legislative Compliance and jurisdiction</p>	<p><input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure</p>	<p><input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success</p>
<p>GFC Terms of Reference</p> <p>UAPPOL: <i>Lands and Building Security Policy</i> -- The University will take reasonable steps to provide a safe, comfortable and secure work and learning environment for staff, students, visitors, partners and contract staff</p>		

Attachments

1. Report of the Campuses and Facilities Safety and Security Working Group: Executive Summary, 4 pages
2. Presentation

Prepared by: Andrew Leitch, Director, ERM Programs. 780-492-8881 aleitch@ualberta.ca

Report of the Campuses and Facilities Safety and Security Working Group

Executive Summary

In response to a spike in safety and security incidents in late 2017 and early 2018, the Campuses and Facilities Safety and Security (CFSS) Working Group was struck to evaluate and make recommendations related to safety and security on University of Alberta campuses.

Findings

Level and Types of Crime

The working group found that, while overall crime rates have not risen dramatically over the past five years, there is an upward trend in robbery, weapons complaints, break and enter, theft, and trespassing, and that the upward trend demands an institutional response.

Locations of Crime

The majority of reported incidents are occurring in a small number of buildings on North Campus: HUB, Clinical Sciences, ECHA, Fine Arts Building, Students' Union Building and Newton Place.

The majority of all events happen in close proximity to the two North Campus LRT stops and the University Hospital.

Numerous complaints also originate from Enterprise Square.

What the Community Says

According to a survey conducted by the CFSS, members of the university community consider University of Alberta campuses to be safe generally, although they do report feeling less safe when on campus after hours. Survey respondents also related numerous individual incidents involving crime and concerning or threatening behaviour.

Current Safety and Security Infrastructure

The most visible element of institutional security is University of Alberta Protective Services (UAPS). The staffing of the organization has grown marginally in the previous decade despite large increases in building space and growth in student numbers.

In addition to peace officers, the university employs a limited number of security agents, deployed in higher risk areas. Agents have limited power to intervene and no power to make arrests.

According to a survey of peer institutions, the University of Alberta deploys a well-below average number of security staff per student.

The university also employs electronic access and video monitoring technology. The use of this technology is highly inconsistent across the university, however, due to a number of factors, including age of infrastructure, type of activity and the wishes of building occupants

The Most Concerning Incidents

The working group ranked the most concerning type of event based on a combination of likelihood and impact. The top events include:

- People committing sexual assault against students or staff
- People assaulting, stalking, harassing or otherwise threatening students or staff
- People stealing or releasing vital data, including personal information
- People stealing personal property belonging to students and staff
- People carrying weapons in university buildings and on university grounds

Causes

There is a number of interconnected causes that affect crime and other negative behaviour on and around university campuses:

- Edmonton has grown, and with it the attendant social issues, including crime
- North Campus is attractive to those who would commit crimes
- North Campus is open, with countless places to hide or commit crimes
- Some campus doors don't function properly or are easily defeated by those with criminal intent
- Due to the way many buildings are joined, it is difficult to secure one building without locking many, which may be undesirable
- Individual departments that control keys and access cards often struggle to stay current due to system complexity, changing populations and access requirements
- Staff and students can be too trusting or forgetful when it comes to locking personal and university equipment
- Students and staff deliberately override security, such as by jamming open doors meant to be locked
- Staff and students may have unrealistic expectations about their own safety

Conclusion of the Working Group

The working group concludes that University of Alberta safety and security staffing, processes, infrastructure and attitudes have not kept up with growth in antisocial, disruptive and criminal activity on and around its campuses, primarily its North Campus, and that efforts can and should be made to reduce campus crime.

Recommendations

The working group recommends a systems approach, a four-part plan that includes people, physical barriers, policies and procedures, technology and control systems.

People

- Create a new team within Protective Services to be deployed to “hot spots” on any of the university’s campuses.
- Add four part time and casual security agents in Protective Services. Employ university students when possible
- Work with Edmonton Police Services to position an officer on the university’s North Campus to be available during business hours
- Develop and execute a communication and change strategy to influence attitudes and behaviours so all members of the community contribute to an enhanced safety culture; include current information on crime and other disruption

Physical Barriers

- Assess physical spaces where unauthorized persons typically trespass, such as under stairs, in boiler rooms, in basements, on rooftops; install appropriate barriers

Policies and Procedures

- Encourage faculties to review building access expectations and policies. Whenever possible, close buildings earlier and restrict access to key points after hours
- In secure and sensitive areas, consider making it mandatory to wear some form of identification, such as a OneCard
- Increase awareness and accountability of supervisors in keeping staff and students safe, including working alone standards
- Develop and communicate procedures that Protective Services will follow when responding to complaints of non-affiliated individuals on University of Alberta campuses; direct individuals in need to services as appropriate

- Appoint a standing safety and security committee to monitor the effects of change from year to year (this would be an extension of the CFSS). Among other things, this group would oversee the annual administration of the safety and security survey
- Increase insurance deductible to encourage more rigorous controls at the department level

Technology and Control Systems

- Review and develop standards for swipe card access, video monitoring and security intrusion alarms

Next Steps

The working group considers its work the beginning of a longer and sustained journey. The group suggests that administration:

- Share this report widely, formally seeking feedback and modifying as necessary
- Formally create a standing safety and security committee, including a subcommittee charged with communications in the immediate and longer term
- Complete the plan for UAPS and commence hiring
- Complete and share the plan for infrastructure improvements and continue the work already begun
- Complete and roll out the communications plan

Summary

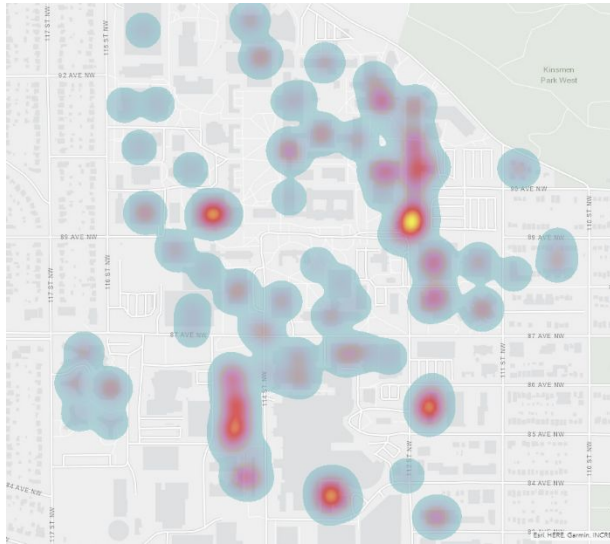
University of Alberta campuses are fundamentally safe and secure places to live, work and study. Violent and other serious crime is rare. During more than a decade of significant infrastructure and population growth, however, gaps have appeared, and concerning incidents are increasing.

With this first campus-wide review of safety and security, the university must now begin a comprehensive and holistic effort to enhance its systems and culture. The CFSS Working Group believes that the blueprint for change contained in this report will achieve the goal of a sustainable, manageable program to ensure safety, security, confidence and peace of mind for all members of the university community and visiting public.

Campuses & Facilities Safety & Security System Framework

Problem Statement: The CFSS WG is to undertake a comprehensive review of safety & security across university campuses (North, South, CSJ, Augustana, Enterprise Square) to develop a report with short & long term strategies to address the issues & concerns of thefts, break-ins, assaults, or drug / alcohol related incidents & trespassers / suspicious persons on University property.

Our Current System



- The majority of violent, property, and disorder incidents occur on North Campus.
- Robbery, weapons complaints, break and enter & theft appear to be increasing.
- Trespassers / Suspicious persons make up a significant proportion of the calls for service.
- Locations connected to LRT or that are accessible or open late tend to have higher incident rates.
- Based on recent high profile incidents, faculty, students & staff in high incident areas feel less safe.

Technology & Control Systems



Outcomes:

- Improved confidence by students, faculty & staff in safety & security.
- The CFSS WG will continue to measure, assess & adapt adopted recommendations / actions to ensure safety & security measures evolve as required.
- Improved mitigation of high risk incidents & areas
- Improved deterrence of trespassers & unwanted behaviours
- Improved detection / monitoring of incidents / trends & reporting
- Improved triggering of appropriate incident response(s)
- Improved understanding / practice of policies & accountabilities

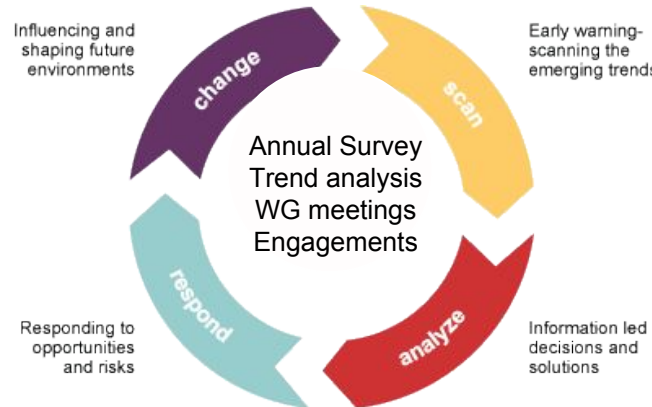
Physical Barriers

Our Desired / Future System

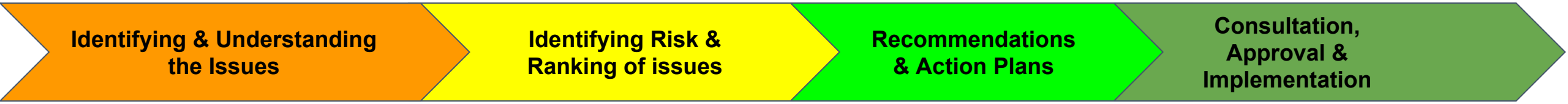
- Short term (within 1 year of report)**
1. The community has a shared and realistic understanding of safety and security risks
 2. The community has a shared understanding of the meaning of "open campus," including why an open campus is important and how it can be sustained
 3. On-going campus community education efforts are improving & resulting in a greater buy in, & accountability by all for security on campus
 4. Funding models / sources for security & safety measures have been reviewed.
 5. Appropriate resource level for UAPS has been determined & actions have been initiated to reach those levels.
 6. High risk areas have enhanced physical safety & security measures in place & interim security personnel are in place (if required)
 7. A comprehensive action plan has been developed to achieve the adopted safety & security recommendations.

- Long term (Beyond 1 year of report)**
1. UAPPOL policies & procedures reviewed & in place to support the action plan.
 2. Improved coordination with partner agencies/organizations.
 3. Implementation of action plan.

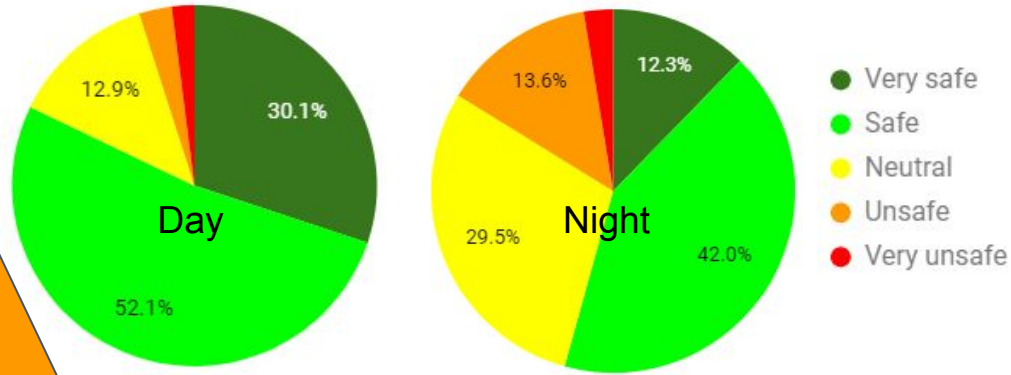
Standing CFSS Committee Annual Cycle



CFSS Process, Findings & Recommendations



1. CFSS WG Sessions
2. Safety & Security Survey
3. Security Staffing Benchmarking Survey
4. Building Infrastructure Review
5. UAPS Incident Analysis
6. AHS, EPS, ETS, Social Service Agencies Coord
7. Consultations



1. Our campuses are considered safe by most but considered less safe at night;
2. UofA Security staffing levels are considered below average;
3. There are numerous places in our buildings for unaffiliated people to hide...;
4. Building hours of operation / open campus contribute to trespassing; &
5. Educating our community is a critical aspect of improving safety and security.

Security Staffing Plan



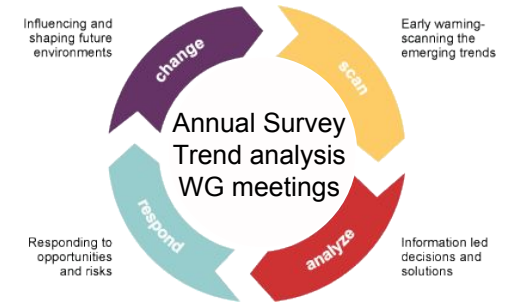
Infrastructure Plan



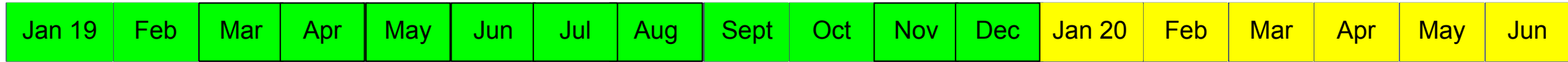
Education & Communications Plan



Standing CFSS Committee



CFSS WG Implementation Plans



Security Staffing Plan

Pilot for UAPS CAT (2 pers) Team + 4 additional security agents / EPS partnership (\$590K)

Infrastructure Plan

Phase 1: Priority 1 (71 items) Design & installation of Gates/Fences, Access Control, Door hardware, etc.. (\$800). Phase 2: Priority 2 / 3 (44 items) Design & installation (\$993K)

CPTED HUB (\$18K) Report

Design HUB Mall Phased approach (\$582K + Other funds)

Education Plan

1. Develop and execute communications strategy to influence attitudes and behaviours so all members of the community contribute to an enhanced safety culture (\$10K).
2. Encourage faculties to review building access expectations and policies. Whenever possible, close buildings earlier and restrict access to key points after hours.(On-going)
3. Communicate working alone protocol legislation and find ways to enforce failure to provide safety when employees, including grad students, are expected to work after hours
4. Publish Protective Services data on university websites
5. Develop and communicate procedures that UAPS will follow when responding to complaints of non-affiliated individuals on University of Alberta campuses.
6. Publish a safety and security handbook

Project Timeline

	18-Dec	19-Jan	19-Feb	19-Mar	19-Apr	19-May	19-Jun	19-Jul	19-Aug	19-Sep	19-Oct	19-Nov	19-Dec	20-Jan	20-Jan	Project Phase
Report Completion and Actions																
Finalize Draft Report																plan
Complete Actions from Report as appropriate																do
Working Group																
Review Inputs (crime stats, survey results, consultation)																Check
Adjust course based on inputs																Act
Perception Survey																
Complete Perception Survey																Check
Identify and Complete Actions Identified from Survey																Act
Ongoing Consultation																
President's Executive Committee	13-Dec															check
Deans' Council		16-Jan														check
GFC			Feb 11+	Feb 25												
Graduate Students' Association		28-Jan														check
Students' Union			TBD													check
Non-Academic Staff Association					TBD											check
Administration Strategic Council				4-Mar												check
Association of Academic Staff		17-Jan														check
BSHEC			27-Feb													check
President's Advisor Council of Chairs			19-Feb													check
Faculty Councils (as appropriate)																check
First Peoples House		TBD														check
Edmonton Police Services (One meeting Nov 2018)		TBD														check
Student Homelessness Prevention Committee							TBD									check
City of Edmonton Transit				TBD												check
Other Social Agencies (One meeting in Nov 2018)				TBD												check
Start next Cycle																
Review annual schedule and adapt																Plan

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Green and Gold Scholar
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Item

Proposed by	Provost and Vice President (Academic)
Presenter	Sarah Forgie, Vice-Provost (Learning Initiatives) and Chair, GFC Committee on the Learning Environment

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The proposal is before the committee for discussion at the GFC Executive Committee and GFC.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>There have been ongoing reviews of the Faculty Excellence Awards (University Cup, Distinguished University Professor, Henry Marshall Tory Chair, Vargo Teaching Professorship and McCalla Professorship). For the most part, these awards have succeeded in their objective to reward the recipient, show our commitment to excellence and inspire others to achieve excellence. After formal and informal discussions with many groups, suggested changes to these awards included streamlining the policies and moving the submission guidelines to the Centre for Teaching and Learning website, providing more clarity around the selection criteria, simplifying the nomination process and using an equity, diversity and inclusion lens in the selection process. These changes have been made to the University Cup, the Henry Marshall Tory Chair, the Vargo teaching Professorship and the McCalla Professorship.</p> <p>However, the Distinguished University Professor posed insurmountable challenges around equity and diversity of candidates, and because it comes from operating funds and continues for the career of the academic, it is not financially sustainable. Therefore, this award is being phased out this year.</p> <p>We will be instituting a new award out of the Endowment Fund for the Future: the Green and Gold Scholar. This award is for professors (with at least ten years of service at the U of A) to carry out a project. These exceptional individuals “are globally recognized leaders and whose exemplary teaching, scholarly work and citizenship have made them leaders in their disciplines.”</p>
Supplementary Notes and context	

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Provost’s Office • Centre for Teaching and Learning • Laura Beard, Associate Vice President Research <p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • Dean’s Council – February 26, 2018
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Item No. 10

	<ul style="list-style-type: none"> • DUP Adjudication Committee – May 29, 2018 • GFC Executive, GFC <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> •
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Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>MISSION: Within a vibrant and supportive learning environment, the University of Alberta discovers, disseminates, and applies new knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships.</p> <p>VALUES: We value excellence in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.</p> <p><i>For the Public Good</i> EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service. We will foster an inclusive culture in which people excel through exchange and collaboration, enriched by the diversity of individuals, groups, disciplines, perspectives, approaches, and questions that comprise our community.</p>	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input checked="" type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	Post-Secondary Learning Act GFC Executive Committee Terms of Reference GFC Committee on the Learning Environment Terms of Reference	

Attachments

1. Draft Green and Gold Scholar Policy and online procedures

Prepared by: Sarah Forgie, Vice Provost (Learning Initiatives)

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

Approval Date:

Most Recent Approval Date:

Most Recent Editorial Date: February 6, 2019

Parent Policy: [Awards for Faculty Excellence Policy](#)

Green and Gold Scholar Application and Selection Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

The title of Green and Gold Scholar is one of the highest honours this University can bestow on a member of its academic staff. The University awards the title only to those individuals who have achieved outstanding distinction and scholarship in each of the areas of teaching, research and/or creative endeavours, and service to the University and the community at large. Their scholarly work must have merited international recognition; their teaching and student supervision ability must be highly esteemed by colleagues and students; and, they must be regarded as exceptional citizens.

The incumbent will have teaching duties throughout the period of the appointment. The Department Chair or Dean is responsible for assigning such duties and for costs associated with reduced responsibilities.

Purpose

The title of Green and Gold Scholar at the University of Alberta recognizes those exceptional faculty members who are globally recognized leaders and whose exemplary teaching, scholarly work and citizenship have made them leaders in their disciplines.

PROCEDURE

1. ELIGIBILITY

This is an equal opportunity award and is merit based. Any full-time member ranked as Professor of the Faculty (Categories A1.1 and A1.6) with at least 10 years of service as a faculty member at the University of Alberta may apply. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit persons; members of visible minority groups; persons with disabilities; persons of any sexual orientation or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.

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

2. SELECTION PROCESSES

The Green and Gold Scholars are determined by a process of nomination and selection using the guidelines described in this procedure and the criteria listed on the Centre for Teaching and Learning (CTL) website. For further details on the submission process, please see the CTL website.

3. CRITERIA FOR SELECTION

The following criteria will be used when selecting eligible applicants:

- Evidence for internationally recognized contributions in their fields
- Evidence of a career commitment to excellence in: teaching, research and/or creative activities, and service to the University and the community at large
- Evidence of an outstanding reputation in student supervision, mentorship and educational leadership
- Merits of the proposed project, including articulation of how their project aligns with the University's strategic plan

4. TERMS OF APPOINTMENT

Normally two awards a year shall be given.

Commencement of appointments will be determined individually for a three-year term, renewable once upon review. Applications for renewal should provide a retrospective of the first three-year term and a prospective of what will be accomplished in the second two-year term.

Recommendation for merit increments for Green and Gold Scholars will be made, as per the Faculty Agreement, by the Department Chair and in non-departmental Faculties by the Dean.

Generally, Green and Gold Scholars appointed to senior administrative positions during the term of their appointment will retain the title of Green and Gold Scholar but must suspend obligations and forego funding provided to the position during the term of their administration.

5. VALUE

Funds in the amount of \$20,000/annum will be available for approved research and creative scholarly activities. The funds may be used for a variety of purposes and in a combination of ways. (e.g., hiring a graduate teaching or research assistant to increase diversity in their group, developing a new teaching technology to expand the diversity of learners, travel to conferences, partial payment of a postdoctoral fellow). No portion of the award may be taken as salary for the recipient. Funds are to be discontinued if a Green and Gold Scholar vacates the position for any reason other than approved sabbatical leave.

Funds are held by the University of Alberta and spent as outlined in the approved application and in accordance with University of Alberta policies and procedures.

As is customary in each Department or Faculty, the Department Chair and/or Dean will assign teaching responsibilities. No compensation will be due a department should a Green and Gold Scholar position be vacated and allocated elsewhere.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended

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

institution-wide use. [\[▲Top\]](#)

FORMS

There are no forms for this Procedure. [\[▲Top\]](#)

RELATED LINKS

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

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

[University of Alberta Faculty Agreement](#) (University of Alberta)

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

For CTL Website:

SUBMISSION REQUIREMENTS

Submissions are due no later than 4:00 p.m. on the first working day of May. Please send the original application (no copies are required) to the Strategic Initiatives Manager, Centre for Teaching and Learning, 5-02 Cameron Library, and an electronic version to awards.ctl@ualberta.ca.

The submission shall include these items in the following order:

- a. A letter of support/nomination from the Chair/Dean.
- b. An outline of the project or activities planned for the award period.
- c. Highlights of a teaching dossier.
- d. Highlights of a research dossier.
- e. Highlights of an educational leadership and service dossier
- f. An abbreviated curriculum vitae.
- g. Three letters of assessment
- h. Three letters of support from students

EVIDENCE FOR SELECTION

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

<p>Letter of nomination from the applicant's Department Chair/or Dean if non-departmentalized</p>	<p>Nomination Letter (2 pages maximum) should:</p> <ul style="list-style-type: none"> ● Include a short list of points at the beginning of the letter highlighting the candidate's key contributions in teaching, research and/or creative activities, supervision of undergraduate and graduate students, professional and community service and how these contributions benefit the Faculty, the University and the community ● Describe the candidate's international reputation ● Address the quality of the proposed activities/project ● Address how the application fits within Departmental/Faculty priorities, and aligns with <i>For the Public Good</i> <p>The letter needs to provide a context for the award including:</p> <ul style="list-style-type: none"> ● The extent of teaching ● The current research program ● Key professional and community service activities (that go above and beyond what is usually expected of a professor) <p>Please note, if the faculty member has cross appointments, they must have written support from all the areas/departments.</p>
<p>Outline of the activities</p>	<p>A brief proposal (3 pages maximum) for a program of activity during the tenure of the Green and Gold Scholar position:</p> <ul style="list-style-type: none"> ● Describing priorities, objectives and expected outcomes for the activities (i.e. teaching, research and/or creative activities, professional and community service) ● Stating how these activities align with <i>For the Public Good</i> ● Outlining how the funds will be used (a detailed budget is not required)

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

<p>Abbreviated Teaching Dossier</p>	<p>Highlights of a teaching dossier (4 pages maximum), including:</p> <ul style="list-style-type: none"> ● A statement of the philosophy of teaching, prepared by the nominee. [Nominees may wish to consult with Centre for Teaching and Learning for further advice on preparing a teaching dossier.] ● A synthesis of evaluations of courses taught in the last five (5) years with course title, course level, dates and class size ● Evidence for Teaching Excellence (which may include): <ul style="list-style-type: none"> ○ A description of effective teaching strategies: examples of effective strategies showing reflection and change over time (why change was needed, what was done, rationale behind the changes, evidence for their effectiveness, a description of the learning outcomes) ○ Teaching awards ○ A description of course development efforts: examples of excellence in the (re) design of new courses (why change was needed, what was done, what is unique about the change and what is the evidence for its effectiveness?)
<p>Abbreviated Research Dossier</p>	<p>Highlights of a research dossier (4 pages maximum), including:</p> <ul style="list-style-type: none"> ● A description of the nominee's program of research. ● A list of recent (last 5 years) grant support, specifying agency, amount of award and title of project ● A list of top 5 graduate students and postdoctoral fellows supervised and a description of their career trajectory. If applicants do not have access to graduate students or postdoctoral fellows, they must describe how they engage in mentoring students in research at the undergraduate level

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

Abbreviated Educational Leadership and Service Dossier	Highlights of an educational leadership and service dossier (4 pages maximum), including: <ul style="list-style-type: none"> ● A description of engagement in leadership and/or service activities ● A description of how these activities link to the applicant's disciplinary research and/or teaching ● A description of the benefits of the activities to students, peers, the institution, and/or community-at-large ● A description of recognition or awards received for leadership or service
Abbreviated CV	(10 pages maximum)
Letters of assessment	3 letters of assessment (each no longer than 2 pages) <ul style="list-style-type: none"> ● Letter from prominent colleague (internal or preferably external to University of Alberta) addressing applicant's research. ● Letter from prominent colleague (internal or preferably external to University of Alberta) addressing applicant's teaching and student supervision. ● Letter of support from one appropriate person (external to University of Alberta) confirming applicant's leadership and substantial contributions to community beyond the university and their international reputation. <p>The nominator shall send the requests for the letters of assessment to individuals selected from names forwarded by the candidate. The nomination process is to be confidential.</p>

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

Student Letters of Support	3 letters of support (each no longer than 2 pages) <ul style="list-style-type: none"> ● From previously supervised (graduate or undergraduate) students or post-doctoral fellows, one of which must be from an undergraduate student. The letters should contain documentation on mentorship, supervision, teaching and why the nominee is worthy of this high-level recognition.
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SELECTION
a. Advisory Selection Committee

The Advisory Selection Committee is composed of the following members:

1. Vice Provost (Learning Initiatives)
2. Vice-President (Research) or delegate
3. Dean of the Faculty of Graduate Studies and Research or delegate
4. An Executive member of the Students' Union or delegate (one year appointment and may be appointed for a second year)
5. An executive member of the Graduate Students' Association or delegate (one year appointment and may be appointed for a second year)
6. Two members from Categories A1.1, A1.6, or their counterparts in A 1.5 and A1.7 elected by GFC for a two-year term of office.

Once members have been elected, the Provost may, in consultation with the Chair or Vice-Chair of the GFC Nominating Committee, name one additional full-time faculty member (Categories A1.1 and A1.6) to the Advisory Selection Committee.

b. Equity, Diversity and Inclusion (EDI) Training

The University of Alberta provides training on equity, diversity and inclusion—including instructions on limiting the impact of unconscious bias—to all individuals involved in the selection process. All members of selection committees must complete training on equity, diversity, and inclusion. Training can be accomplished either by completing the CRC online training module offered by the Federal Government or by attending training on Campus offered by the University of Alberta EDI group. Each member of the selection committee is required to self-register in training and to inform the chair of the committee that this training has been completed. The chair

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

must document that all participants have completed this training in the competition files.

Training is offered by the University of Alberta Equity, Diversity, Inclusion (EDI) group. Committee members must contact the EDI group for information about upcoming sessions. The EDI group offers many helpful training courses regarding this issue but the most relevant training is “Introduction to Unconscious Bias.” Each participant in selection committees should attend, at least, one such training session in order to meet this requirement. Find a description and schedule for this training [here](#).

c. Selection Process

The quorum for the Selection Committee shall be that only one member may be absent from any meeting where decisions are made. Its proceedings are to be confidential.

The committee will ensure that the university's commitment, to “Build a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world” is upheld. (For the Public Good)

The President and Provost will determine which nominees of those forwarded by the Advisory Selection Committee, if any, will be appointed to the position of Green and Gold Scholar.

d. Announcement of the award

The appointment will be formally announced at the annual *Celebrate! Teaching. Learning. Research* event.

General Faculties Council Standing Committee Report

GFC Executive Committee

1. Since last reporting to GFC, the Executive Committee met on February 11, 2019.

2. Items Approved With Delegated Authority
 - Approved - Proposal from the Faculty of Nursing to add Consolidated Final Exam for NURS 125 Nursing Practice - Health Assessment and Nursing Process
 - Recommended to GFC – Conflicts of Interest Amendment Act - Code of Conduct: Employees' Obligations Respecting Conflicts of Interest
 - Recommended to GFC – Proposed Terms of Reference for the Council on Student Affairs (COSA)
 - Recommended to GFC – Proposed Revisions to Standing Committee Terms of Reference - GFC Executive Committee
 - Approved – Agenda for February 25, 2019, GFC meeting

3. Items Discussed
 - Workplace Impairment Policy and Procedures Equity, Diversity, and Inclusivity (EDI) Strategic Plan
 - Proposed Revisions to Terms of Reference - General Faculties Council
 - Proposed Revisions to Standing Committee Terms of Reference - GFC Academic Standards Committee (ASC)
 - Report of the Campuses and Facilities Safety and Security (CFSS) Working Group
 - Green and Gold Scholar
 - Update on Changes to the University Calendar
 - 2019-2020 University Budget - update

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

https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_EXEC

Submitted by:
David Turpin, Chair
GFC Executive Committee

General Faculties Council Standing Committee Report

GFC Academic Planning Committee

1. Since last reporting to GFC, the Academic Planning Committee met on February 13, 2019.
2. Items Approved with Delegated Authority from GFC
 - Approved - Proposal for a Joint Doctoral Degree Graduate Program, University of Alberta (Faculty of Graduate Studies and Research and Faculty of Medicine and Dentistry) and Saarland University, Germany
 - Approved - Proposal from the Faculty of Arts to change the name of the BMus Composition and Theory Route to the BMus Composition and Sonic Arts Route
 - Recommended to the Board of Governors – Proposed New Mandatory Student Instructional Support Fees, Proposed Change to Existing Mandatory Student Instructional Support Fees, and Proposed Deletion of Mandatory Student Instructional Support Fees
 - Recommended to the Board of Governors – University of Alberta 2019-2020 General Tuition Proposal
 - Recommended to the Board of Governors – University of Alberta 2019-2020 International Tuition Fee Proposal
 - Recommended to the Board of Governors – University of Alberta 2019-2020 Budget
3. Items Discussed
 - Proposed Revisions to Standing Committee Terms of Reference - GFC Academic Planning Committee (APC) including a name change to GFC Academic and Research Planning Committee

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_APC

Submitted by:
Steven Dew, Chair
GFC Academic Planning Committee

General Faculties Council Standing Committee Report

GFC Academic Standards Committee

1. Since last reporting to GFC, the Academic Standards Committee met on February 14, 2019.
2. Items Approved with Delegated Authority from GFC
 - Approved - Transfer Credit Approvals, Office of the Registrar
 - Approved - Proposed Changes to Entrance Requirements for Graduate Programs in Nursing
 - Recommended - Proposed Revisions to Standing Committee Terms of Reference - GFC Academic Standards Committee (ASC)
3. Items Discussed
 - Amendments to the Transfer Credit Articulation Procedure

Terms of reference and records of meetings for this committee can be found at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees#GFC_ASC

Submitted by:
Tammy Hopper
Chair, GFC Academic Standards Committee



GFC NOMINATIONS/ELECTIONS

Report to General Faculties Council

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 is 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 POSITION/S FILLED

2019 Dean Selection Committee - Dean, Faculty of Medicine and Dentistry

January 22, 2019 - The following individual has been elected by General Faculties Council to serve as the one academic staff representative from Staff Category (A1.0) from outside the Faculty concerned, as indicated within Section 11 (l.) of the "Faculty Deans Selection Procedure - Appendix A: Dean Selection Committee for Individual Faculties."

- Louis Francescutti (School of Public Health)
-

View Related Links for Updates and Details:

[Office of the Provost - Deans Selections and Reviews](#)

[GFC Nominations and Elections](#)

Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title	Annual Report on Undergraduate Enrolment 2018-19
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Item

Proposed by	Melissa Padfield, Interim Vice Provost & University Registrar
Presenter	Melissa Padfield, Interim Vice Provost & University Registrar

Details

Responsibility	Provost and Vice-President Academic
The Purpose of the Proposal is (please be specific)	To discuss the Annual Report on Undergraduate Enrolment
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>The University of Alberta’s 2018/19 Undergraduate Enrolment Report provides detailed information about students enrolled at our North campus, Augustana campus, and Campus St. Jean and the outcome of targeted initiatives related to the recruitment and retention of undergraduate students. This year’s sixth installment of the annual report.</p> <p>Enrolment management is not simply a matter of numbers. It is a comprehensive and coordinated process that enables a university to identify goals that are aligned with the resources needed to provide an outstanding educational experience for all students. While enrolment trends are sometimes difficult to predict, early indicators and demographic trends suggest that this past year’s unprecedented demand for seats at the University of Alberta will likely continue for the next several years. Strategic undergraduate enrolment is vital to supporting the university in its objective to “build a diverse, inclusive community of exceptional students from Edmonton, Alberta, Canada and the world.”</p>
Supplementary Notes and context	

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	<p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • GFC Executive Committee – February 11, 2019 • GFC Academic Planning Committee - January 16, 2019 • Advisory Committee on Enrolment Management- January 25, 2019 • General Faculties Council - February 25, 2019 • Board Learning and Development Committee (Executive Summary only) - February 15, 2019 • Statutory Deans’ Council- TBA • PEC-O- TBA • Chairs Council- TBA • Vice-Provosts’ Council- TBA <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • President and Vice Chancellor- Dr. David Turpin- January 3, 2019
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Item No. 17A

	<ul style="list-style-type: none"> • Office of the President- (Dr. Catherine Swindlehurst)- January 3, 2019 • Provost and Vice President Academic- Dr. Steven Dew- January 3, 2019 • Deputy Provost Dr. Wendy Rodgers, January 3, 2019 • Vice-Provosts Dr. Tammy Hopper and Dr. Sarah Forgie- January 3, 2019 • Office of the Provost: Ms. Edith Finczak, Ms. Kathleen Brough, Ms. Andrea Patrick- January 3, 2019 • Strategic Analysis and Data Warehousing – Ms. Deborah Williams- January 3, 2019 • Vice Provosts' Council- TBA <p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • FGSR, for purposes of coordinating graduate and undergraduate annual enrolment reports
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Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>BUILD GOAL: Build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world.</p> <p>To begin, we will attract outstanding students... OBJECTIVE 1: Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</p> <p>SUSTAIN GOAL: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.</p> <p>A commitment that extends to administration and governance... 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>		
Alignment with Institutional Risk Indicator	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>	<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success		
Legislative Compliance and jurisdiction	<p>Post Secondary Learning Act GFC Terms of Reference GFC Executive Committee Terms of Reference</p>		

Item No. 17A

	GFC Academic Planning Committee Terms of Reference Board Learning and Discovery Committee Terms of Reference
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Attachments (each to be numbered 1 - <>)

1. Attachment 1 (pages 1 – 40) - Annual Report on Undergraduate Enrolment 2018/19

Prepared by: Melissa Padfield, Interim Vice-provost & University Registrar, melissa.padfield@ualberta.ca



ANNUAL REPORT ON UNDERGRADUATE ENROLMENT

2018/19

December 21, 2018



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MESSAGE FROM THE INTERIM VICE-PROVOST AND UNIVERSITY REGISTRAR

The University of Alberta's 2018/19 Undergraduate Enrolment Report provides detailed information about students enrolled at our North campus, Augustana campus, and Campus St. Jean and the outcome of targeted initiatives related to the recruitment and retention of undergraduate students. This year's sixth installment of the annual report also reflects the second year of the Undergraduate National Recruitment Strategy which focuses on out-of-province student recruitment while deepening our commitment to the province of Alberta.

It has been a record year for undergraduate enrolment, particularly in terms of applications and admissions. While demand is growing, capacity remains unchanged, which creates pressures for enrolment that need to be actively managed. In 2018/19, the admission rate was 60.0 per cent, down 5.0 per cent from the year prior. To avoid over enrolment, only the most qualified applicants were offered admission. It is through this enrolment management strategy that the university can ensure demand is met and targets achieved, allowing us to hold over enrolment to 2.4 per cent of undergraduate enrolment targets.

This year, there was once again significant growth in international demand and we have now reached our goal of 15 per cent for international undergraduate enrolment. The university remains committed to balancing the provision of access for Alberta students with out-of-province and international populations, while at the same time, improving access for Indigenous students. There was growth in demand from all applicant groups and progress was made towards many goals for incoming, new-to-university, direct-entry students: +33.3 per cent out-of-province students and +11.4 per cent Indigenous students.

While applications to the university increased by 9.5 per cent, automated admissions evaluations were leveraged to process direct-entry applications more quickly and provide admission offers sooner in the application cycle, some within 48 hours or less. This type of automation also saw benefits for eligible first-year applicants who can now apply for residence at the same time as admissions. A new admission system that will be in place for the 2020 intake will also bring new efficiencies, including a more agile and sustainable admissions system and process that will support the increasing volume and complexity of applications, and improve the student application experience.

Enrolment management is not simply a matter of numbers. It is a comprehensive and coordinated process that enables a university to identify goals that are aligned with the resources needed to provide an outstanding educational experience for all students. While enrolment trends are sometimes difficult to predict, early indicators and demographic trends suggest that this past year's unprecedented demand for seats at the University of Alberta will likely continue for the next several years. Strategic undergraduate enrolment is vital to supporting the university in its objective to "build a diverse, inclusive community of exceptional students from Edmonton, Alberta, Canada and the world."¹



Melissa Padfield
Interim Vice-Provost and University Registrar

¹ University of Alberta Institutional Strategic Plan, For the Public Good

EXECUTIVE SUMMARY

The Annual Report on Undergraduate Enrolment provides an overview of key undergraduate enrolment statistics in each academic year (September 1 – August 31). Application, admission, and enrolment statistics are collected as of December 1 each year. The 2018/19 report is the sixth such annual report issued by the Office of the Registrar. The report includes information about total enrolment, expressed in headcount, as well as enrolment expressed by post-secondary institutions in the province of Alberta as Full Load Equivalents (FLEs). In addition to tracking total enrolment, the report looks at three specific areas:

1. Student intake: applications, admissions, and registrations, including selectivity² and yield rates³;
2. Basic demographic data about the student body and key populations within it; and,
3. Student retention and completion.

Where appropriate, this report includes multi-year trend data, with data sources noted.

Total Undergraduate Enrolment (2018/19)

	Persons	Per cent		Persons	Per cent
Domestic	27,235	84.9%	Full-time	29,683	92.5%
International	4,855	15.1%	Part-time	2,407	7.5%
Total undergraduate enrolment	32,090	100.0%	Total undergraduate enrolment	32,090	100.0%

In 2018/19, the total undergraduate enrolment grew 1.0 per cent over the previous cycle. Current enrolment is the highest on record and corresponds to 2.4 per cent enrolment over target. This year, the international undergraduate enrolment headcount was 4,855. The university has now achieved its target of reaching international enrolment that is 15.0 per cent of overall undergraduate enrolment.

Applicants (2018/19)

	Persons	Rate
Total applicants	37,443	
Admitted	22,440	Admission rate: 60.0%
Registered	13,209	Yield rate: 59.0%

Over the last year, the total number of applicants increased 9.5 per cent to a record high of 37,443. The growth was primarily driven by a 22.2 per cent increase in international applicants. With respect to applicant type, most of the increase came from direct-entry applicants which increased by 14.8 per cent.

² Selectivity is measured by the proportion of qualified applicants who are offered admission. Higher selectivity implies lower admission rate.

³ Yield rate refers to the proportion of admitted applicants who enrol into their program of admission.

As a result of the spike in application volume, increases to competitive admission averages were necessary to mitigate over enrolment, thus lowering this cycle's admission rate to 60.0 per cent, down 4.7 per cent from last year.

A direct outcome is higher mean admission averages, compared to last cycle, among registered students in all but two direct-entry faculties.

International Citizenship of Undergraduates (2018/19)

Top citizenship countries of international students	China: 67.4%	India: 5.3%	Bangladesh: 2.8%
Number of countries of citizenship among international students	104	China, India, Bangladesh and Nigeria each have 100 or more students in the population.	

The university continued to have a diverse student population with international students accounting for 15.1 per cent of the overall undergraduate population. Of the international students, the total country citizenship headcount was 104, a decline from 106 in 2017/18.

China, India, and Bangladesh are the top citizenship countries among international students, together making up 75.5 per cent of all students who are not Canadian citizens. At 67.4 per cent, China remains the top citizenship country of international students. This constitutes a decrease from 69.1 per cent in 2017/18.

Domestic Origin of Undergraduates (2018/19)

Location (based on permanent home address)	Persons	% of headcount
Edmonton & area	15,905	49.6%
Rest of Alberta	7,979	24.9%
Canada (excluding Alberta)	2,783	8.7%
Outside of Canada*	5,423	16.9%

*Students coming from outside Canada are not always international as they may be Canadian citizens or permanent residents.

The university maintained its commitment to Albertans by preserving access for Alberta students.

- Nearly half of the students coming from within Canada had permanent home addresses in Edmonton and area and a total of 74.5 per cent of domestic students were from within Alberta.
- 83.2 per cent of our total undergraduates originated from within Canada.
- The remaining 16.9 per cent came from outside of Canada. Students coming from outside Canada are not always considered international as they may be Canadian citizens or permanent residents.

Indigenous Enrolment (2018/19)

	Number	% of Overall Numbers
Total Indigenous enrolment	1,175	3.7%
New Indigenous applicants	907	3.1%
New Indigenous applicants admitted	568	3.4%

The number of self-identified Indigenous students increased over the last cycle, increasing by 8.7 per cent to a total of 1,175 students.

The proportion of Indigenous enrolment in our overall undergraduate population hit a record high of 3.7 per cent. Much of the growth can be attributed to the 907 new Indigenous applicants, which represents an increase of 21.3 per cent from the last cycle. New Indigenous applicants constituted 3.1 per cent of our total new undergraduate applications for Fall 2018.

A total of 568 new-to-university Indigenous applicants were offered admission. The new Indigenous admissions represented 3.4 per cent of total new-to-university admissions for Fall 2018, and a 11.4 per cent increase in new Indigenous admissions from the preceding cycle.

Year 1 to Year 2 Retention Rates

	Year 1 to Year 2 Retention Rate
Domestic students	89.1%
International students	89.1%
Indigenous students	76.3%
Total	89.1%

The overall year one to year two retention rate for all undergraduate students decreased to 89.1 per cent this year, primarily driven by the decrease in rates of domestic students which dropped to 89.1 per cent. The year one to year two retention rate for Indigenous students also saw a decrease to 76.3 per cent, while the rates for international students increased to 89.1 per cent this year. The majority of first-year undergraduate students who returned to the institution for their second year remained in the same faculty. The overall proportion of students who changed faculties after their first year of studies continued to decrease, with the least amount of change among international students.

Undergraduate National Recruitment Strategy

The Undergraduate National Recruitment Strategy was developed with a focus on out-of-province (OOP) recruitment and a deepened commitment to the province of Alberta. Year 2 marked a transition to the Apply phase, which aimed to increase the number of qualified High School applicants. This year, targets were either met or exceeded, increasing the quality of our OOP applicants.

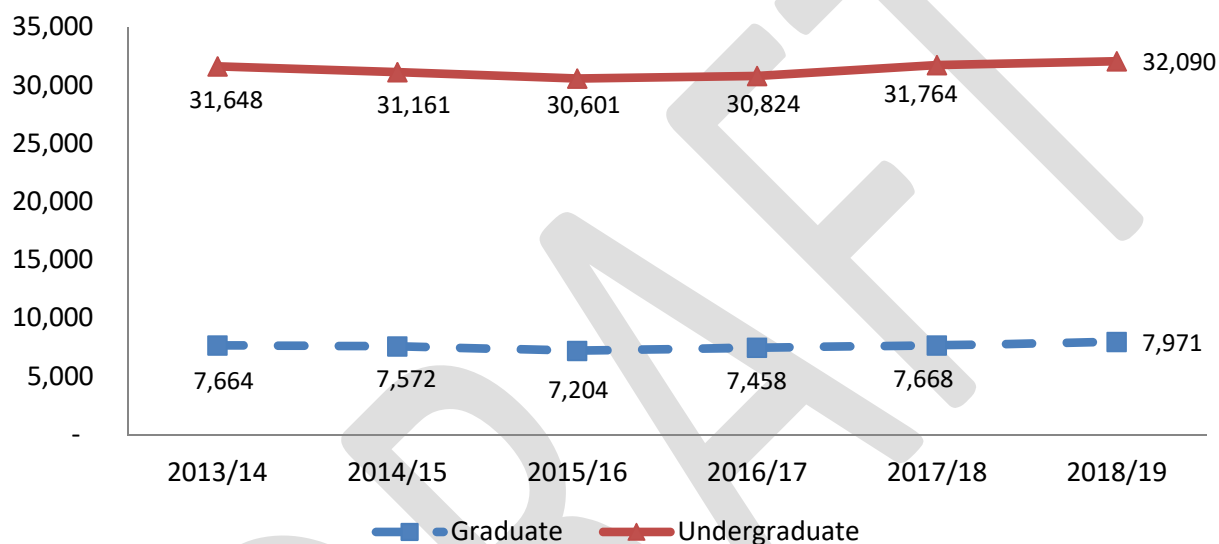
1. TOTAL UNDERGRADUATE ENROLMENT

1.1 ENROLMENT HEADCOUNT

Undergraduate enrolment declined from 2013/14 to 2015/16 but has since been increasing. With a 1.0 per cent growth in the past year alone, the enrolment headcount was 32,090 for the 2018/19 cycle, which translated to 2.4 per cent over enrolment.

This past year's growth in undergraduate enrolment was associated with the surge in demand from direct-entry and international students.

Figure 1: Enrolment Headcount (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

Notes:

1. Undergraduate headcount includes 1,002 Postgraduate Medical and Dental Education students.
2. The undergraduate numbers shown for 2015/16 and 2016/17 differ by 25 and 27 respectively from what was reported in 2015 and 2016 annual reports, as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/16, Career Preparation Program data was separated from undergraduate data.

1.2 NEW AND CONTINUING REGISTRATION, UNDERGRADUATE HEADCOUNT

Total undergraduate registration is comprised of “new to program” intake (applicants registered) and continuing students (continuing registered).

In 2018/19, the total number of undergraduate applicants was 37,443, a gain of 3,237 applicants or 9.5 per cent over the last year. Due to stricter criteria for admissions, the total admission offers and registered applicants only increased by 1.5 per cent and 1.6 per cent, respectively. The total number of admissions increased to 22,440 while the total applicant registration grew to 13,209.

The number of continuing students has also grown in the past cycle.

- The total number of students continuing in their previous year programs increased by 195 headcounts or 1.1 per cent to reach 18,080.
- This brought the total number of registered students from 30,755 in 2017/18 to 31,135 in 2018/19, an increase of 1.2 per cent.

Table 1: 2018/2019 Applicant and Registration Numbers

Program Faculty	Applicants	Applicants Admitted	Applicants Registered	Continuing Registered	Total Registered
ALES (Agriculture, Life and Environmental Sciences)	2,044	924	518	1,022	1,531
Arts	9,781	5,266	2,670	3,487	6,117
Augustana Faculty	2,513	1,182	364	662	1,021
Business	1,545	874	722	1,333	2,061
Education	3,852	1,649	1,154	1,841	2,979
Engineering	6,915	4,070	2,156	2,372	4,514
KSR (Kinesiology, Sport and Recreation)	1,749	536	364	640	999
Law	1,074	435	214	354	570
Medicine and Dentistry	2,333	414	320	728	1,051
Native Studies	353	168	95	114	205
Nursing	2,820	682	471	775	1,241
Open Studies	1,592	1,519	1,081	287	1,327
Pharmacy & Pharmaceutical Science	611	173	148	403	553
Rehabilitation Medicine	4	4	4	0	5
Campus Saint-Jean	539	348	254	483	734
Science	14,447	5,273	2,674	3,579	6,227
2018 Total	37,443	22,440	13,209	18,080	31,135
2017 Total	34,206	22,118	12,998	17,885	30,755
Year Over Year Change (#)	3,237	322	211	195	380
Year Over Year Change (%)	9.5%	1.5%	1.6%	1.1%	1.2%

Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Enrolment Management Table

Notes:

1. "Applicants Registered" and "Continuing Registered" do not always sum up to "Total Registered". Students who are auditing courses may be included in Applicants Registered but are excluded from Total Registered. Also, continuing students who had withdrawn from all of their classes over the past four terms but are registered in the current term would be counted in Total Registered but neither in Applicant Registered nor Continuing Registered.
2. Numbers shown for Pharmacy and Pharmaceutical Sciences include BSc Pharmacy as well as the Doctor of Pharmacy program which is considered an undergraduate program.
3. The sum of applicants and applicants admitted within each faculty will exceed the total overall count as shown, as some applicants apply to and are admitted in more than one faculty.
4. Postgraduate Medical and Dental Education Students are excluded in this table.
5. Program transfers within the same faculties are considered applicants with respect to their new programs and therefore included in the count of Applicants and Applicants Registered.
6. KSR (Faculty of Kinesiology, Sports and Recreation) is formerly the Faculty of Physical Education and Recreation.

DRAFT

1.3 ENROLMENT FULL LOAD EQUIVALENT, UNDERGRADUATE

Total undergraduate enrolment Full Load Equivalent (FLE) for 2018/19 is estimated⁴ to be 27,354. The university is over enrolled at 2.4 per cent higher than the undergraduate enrolment target of 26,720 FLEs. The moderate over enrolment was precipitated by enrolment over target in selected faculties as seen in Table 2.

Table 2: 2018/2019 Enrolment by FLE and Comparison with Targets

Program Faculty	2018/19 FLE Estimate	2018/19 FLE Target	2018/19 Over/ Under Enrolment FLE	2018/19 Over / Under Enrolment %	2017/18 Over / Under Enrolment %
ALES	1,245	1,227	18	1.5%	5.5%
Arts	5,046	4,871	175	3.6%	-0.1%
Augustana Faculty	917	899	18	2.0%	4.0%
Business	1,756	1,786	-30	-1.7%	-1.2%
Education	2,655	2,551	104	4.1%	3.0%
Engineering	4,349	4,500	-151	-3.4%	-4.4%
KSR	868	800	68	8.4%	7.5%
Law	567	525	42	8.1%	6.1%
Medicine and Dentistry	1,083	1,040	43	4.1%	3.4%
Native Studies	150	130	20	15.7%	9.6%
Nursing	1,317	1,354	-37	-2.8%	-6.7%
Open Studies	682	543	139	25.7%	
Pharmacy & Pharmaceutical Sciences	523	467	56	11.9%	6.6%
Rehabilitation Medicine	1		1		
Campus Saint-Jean	672	514	158	30.7%	14.9%
Science	5,525	5,513	12	0.2%	2.7%
Total	27,354	26,720	634	2.4%	1.3%
Average* (Excluding Open Studies)			33	5.9%	3.6%

Notes:

- Does not include Postgraduate Medical and Dental Education. FLE targets and estimates shown for Campus Saint-Jean do not include Career Preparation Program.
- Undergraduate FLE targets for 2018/19 are from pages 90 - 133 of the university's 2017 Comprehensive Institutional Plan.
- The FLE targets shown for the Faculty of Science includes 25 recently added FLEs for STEM enrolment.
- FLE estimates are based on registration headcounts and estimated two-year FLE to headcount conversion rates. Official FLE counts are received from the Government of Alberta. ⁵

⁴ Actual enrolment FLEs are usually not known until students have completed their courses. Enrolment FLEs are based on the credits enrolled by students during each reporting year. Preliminary FLE estimates are based on observed headcounts and historical enrolment patterns.

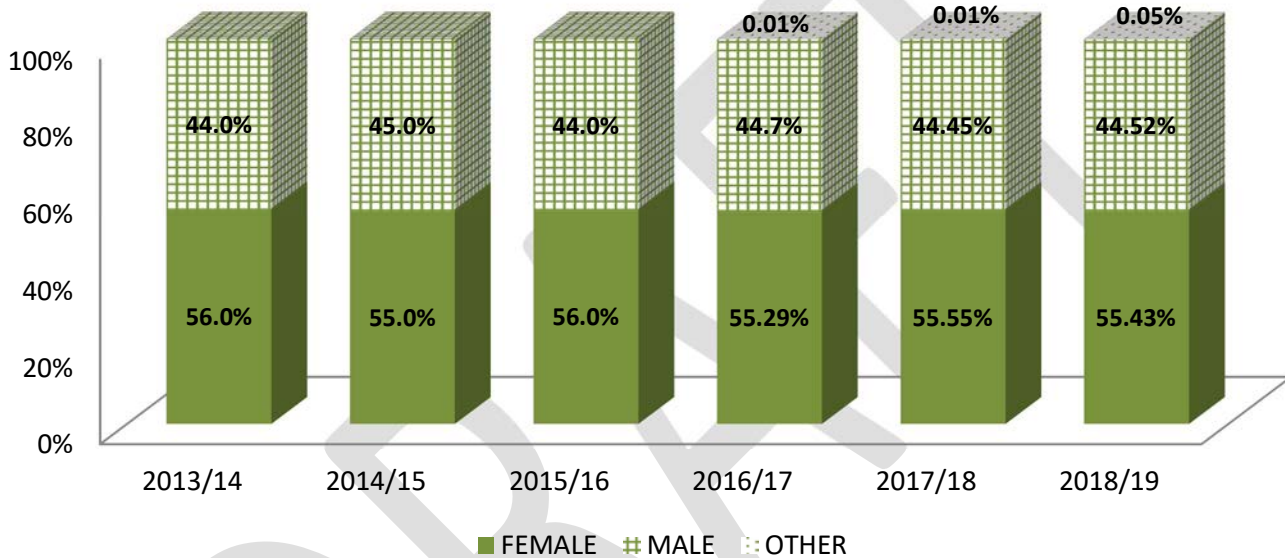
⁵ Official FLE counts are received from the Government of Alberta.

1.4 GENDER DISTRIBUTION, UNDERGRADUATE HEADCOUNT

A total of 55.0 per cent of undergraduate students identify as female whereas 45.0 per cent identify as male. A third gender option became available starting in 2016/17 called "other" and represented 0.01 per cent of students in the two subsequent years.

In 2018/19, the proportion of students identifying as "other" grew to 0.05 per cent. Gender distributions of the undergraduate student population for 2018/19 remained relatively the same otherwise, compared to previous cycles.

Figure 2: Gender Distribution in Undergraduate Registration (2013 to 2018)



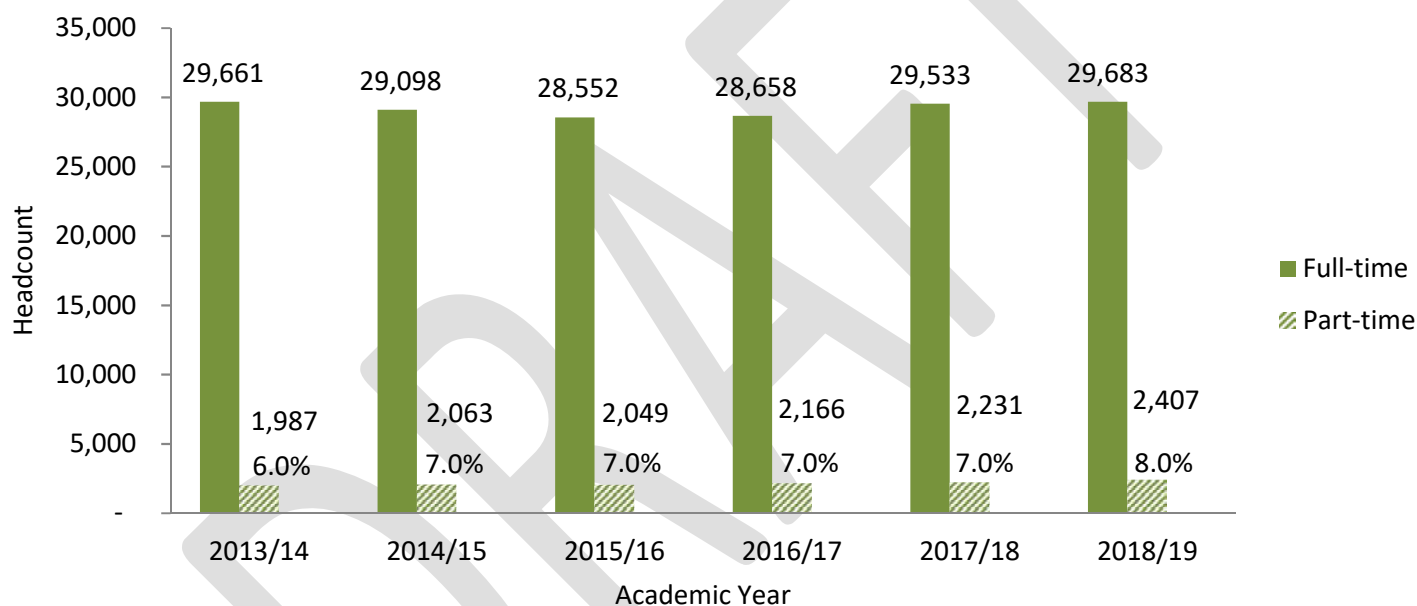
Source: Office of the Registrar, December 1 REGSTATS Archive

1.5 FULL-TIME AND PART-TIME UNDERGRADUATE HEADCOUNT

Students at the university are categorized as either full-time or part-time, depending on the number of credits taken in a single term. Full-time status is granted for the term when a student is enrolled in at least nine credits. If enrolled in less than nine credits in a single term, the student is considered part-time.

- The number of full-time students in the 2018/19 cycle was 29,683, an increase of 150 compared to 2017/18.
- The number of part-time students increased by 176 to 2,407, representing 8.0 per cent of overall undergraduate students.
- The 2018/19 number of part-time students is the highest in at least eight years.

Figure 3: Full-Time and Part-Time Undergraduate Headcount (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

Note: The total numbers shown for 2015/16 and 2016/17 differ by 25 and 27 respectively, from what was reported in 2015 and 2016 annual reports as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/16, Career Preparation Program data was separated from undergraduate data.

2. APPLICANT NUMBERS, QUALITY AND YIELD

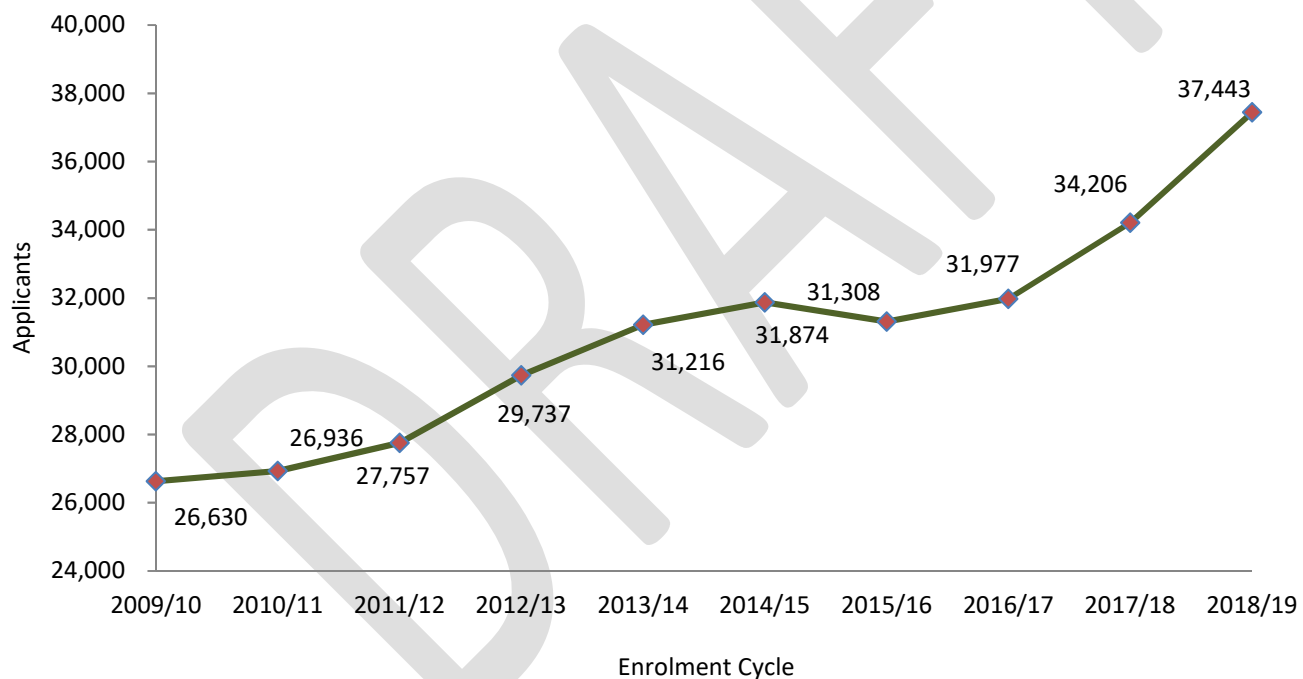
2.1 APPLICANT NUMBERS

Growth in demand for programs at the university is demonstrated by the positive trend in applicant numbers. Applicant numbers reached yet another all-time high in 2018.

A total of 37,443 applicants submitted applications for undergraduate programs in 2018/19. The institution witnessed a 9.5 per cent growth in applicants, higher than the 6.9 per cent growth in the year prior.

The significant growth in the number of applicants has been primarily driven by international direct-entry demand. The growth over these last two cycles was so drastic that the dip in 2015/16 is obscured by the overall ten year picture shown below.

Figure 4: Ten Year Undergraduate Applicant Curve (2009 to 2018)



Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Enrolment Management Table

Notes:

1. Data is based on December 1 archived data for each specified year.
2. The applicant number shown for 2015/16 differs by 31 from what was reported in the 2015 annual report as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/2016, Career Preparation Program data was separated from undergraduate data.
3. Data includes new-to-university applicants as well as continuing students applying for a program change.

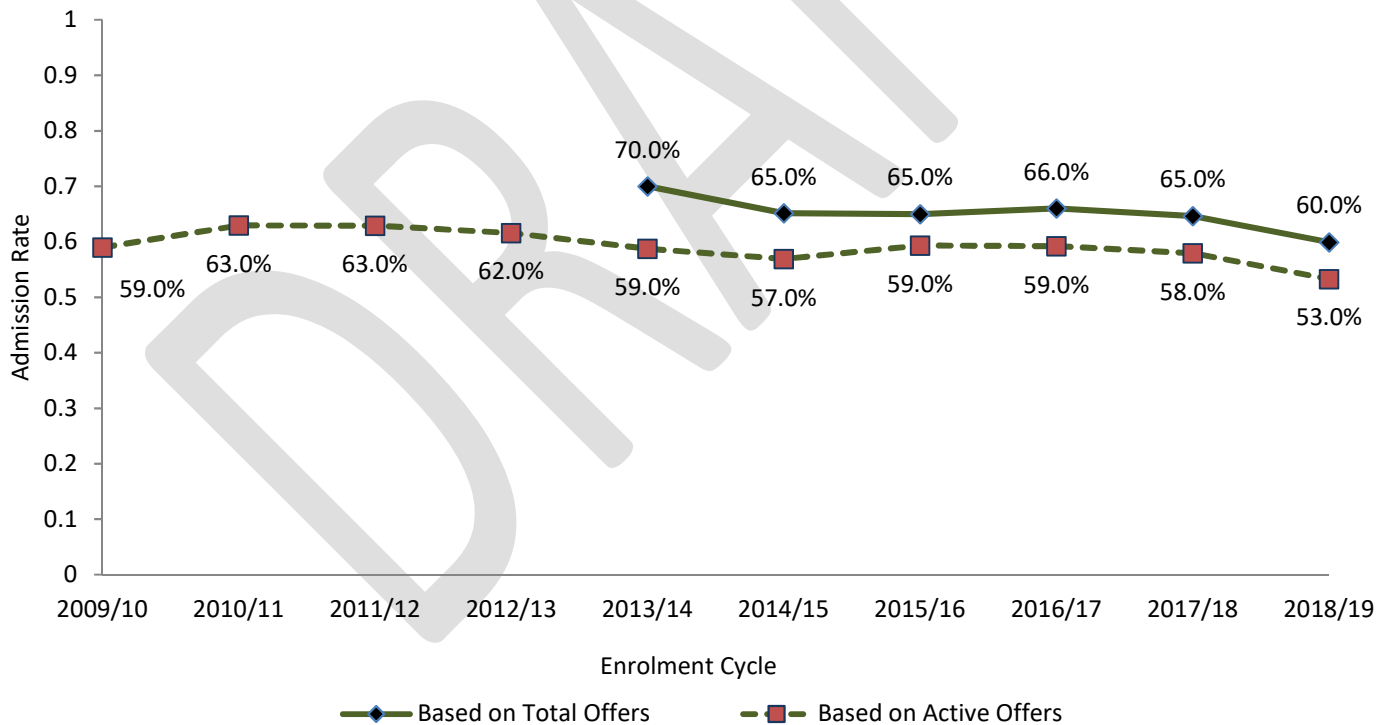
2.2 ADMISSION RATE

The proportion of applicants who received admission offers decreased in 2018/19. Based on total offers, the admission rate was 60.0 per cent, down 5.0 per cent from the year prior and down 10.0 per cent from five years ago. The declining trend of admission rates is an outcome of increased application numbers in the face of limited enrolment capacity at the university. To avoid over enrolment, only the most qualified applicants were offered admission. If application numbers continue to rise, the admission rate will continue to drop as long as the university's enrolment capacity remains fixed.

As explained in the 2017/18 annual report, the university enhanced its method of estimating the admission rate in 2017. While the institution had traditionally based the estimation of admission rates on only offers that were active (i.e. not declined or revoked), the enhanced method introduced in 2017 includes declined, cancelled and revoked offers in order to enable a more comprehensive understanding of admissions and yield rates.

The dotted line in the chart below represents the traditional method of estimation which is now being phased out.

Figure 5: Ten Year Undergraduate Admission Rate Curve (2009 to 2018)



Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Enrolment Management Table Notes:

1. Data is based on December 1 archived data for each specified year.
2. Data includes new-to-university applicants as well as continuing students applying for a program change.

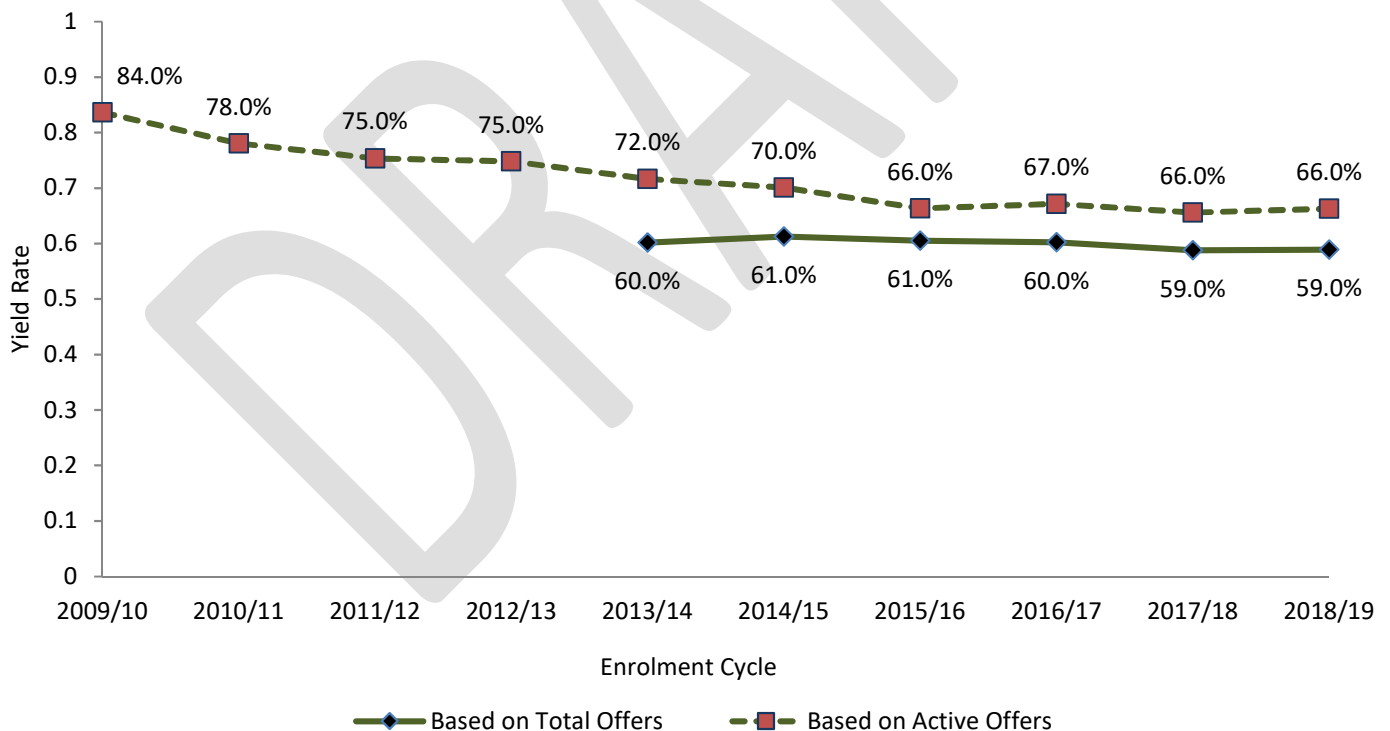
2.3 YIELD RATE

Of the 22,440 total admitted applicants, 13,209 or 59.0 per cent eventually registered. This proportion of admitted applicants who registered, also known as the yield rate, remained unchanged from the previous cycle. Based on total offers, the yield rates have historically been higher, but have been declining over the last decade. This is explained by the admission process becoming increasingly more selective due to an increased demand for limited seats at the university.

As admission averages increase to select only highly qualified applicants in the context of unchanged capacity, those admitted are likely highly competitive applicants with multiple admission offers from post-secondary institutions. Therefore, yield rates decrease as admission averages increase.

The dotted line shown in the chart below represents estimates from the traditional method which is now being phased out as explained in section 2.2.

Figure 6: Ten Year Undergraduate Yield Rate Curve (2009 to 2018)



Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Enrolment Management Table

Notes:

1. Data is based on December 1 archived data for each specified year.
2. Data includes new-to-university applicants as well as continuing students applying for a program change.

2.4 COMPETITIVE ADMISSION AVERAGES, UNDERGRADUATE DIRECT-ENTRY

Admission offers into the ten direct-entry faculties for 2018/19 were based on applicants meeting faculty-set competitive averages at the time of admission, and subject to the availability of space. The competitive admission average for Nursing was lower than last cycle, while the competitive admission average for the other nine direct-entry faculties increased in 2018/19.

Since admission decisions were subject to the availability of space, meeting the competitive average did not guarantee admission. The overall increase in competitive admission averages in the 2018 enrolment cycle is indicative of increased demand and quality in the pool of applicants that compete for limited seats.

As the pool of applicants increases in both quality and numbers, competitive admission averages continue to rise in order to restrict offers to the most qualified applicants.

Table 3: Ten Year Final Grade 12 Competitive Admission Average History (2009 to 2018)

Faculty	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	Trend
ALES	70	70-75	70-75	70-75	70-80	78-82	78-80	70-80	70-80	75-87	↑
Arts	70	70	70-75	70-75	72-75	72-80	70-80	70-80	70-78	70-88	↑
Augustana	70	70	70	70	70	70	70	70-76	71-76	70-79	↑
Education				70-90	70-80	70-75	70-80	70-80	70-80	75-90	↑
Engineering	80	80	80	81	83	85	85-90	85-89	83-85	84-86	↑
KSR	70-78	70-78	74-81	75-80	75-82	75-81	74-82	74-83	74-83	75-85	↑
Native Studies	70	70	70	70	70	70	70	70	70	70-73	↑
Nursing	74-75	75	74-75	75-78	76-80	78-80	80-83	83.5-85	85-90	84-87	↓
Campus Saint-Jean	70	70	70	70	70	70	70	70	70	75-82	↑
Science	71-80	72-80	75-80	76-80	80-85	82-85	82-85	83-85	83-85	84-87	↑

Source: Office of the Registrar

Note:

1. The Faculty of Education started direct-entry admissions in 2012.

2.5 MEAN ADMISSION AVERAGES OF REGISTERED STUDENTS, UNDERGRADUATE DIRECT-ENTRY

As observed in section 2.4, competitive admission averages increased for all but one direct-entry faculty in the 2018 enrolment cycle. As a result, the mean admission averages among registered direct-entry students increased for most faculties in 2018/19.

- The mean admission averages of registered students in Augustana was 81.0 per cent, down from 82.0 per cent in the preceding year.
- The mean admission average of registered students in Engineering remained unchanged at 89.0 per cent.
- Seven faculties saw mean admission averages increase by 1.0 per cent while the Faculty of Native Studies witnessed a 2.0 per cent increase.
- Registered students in the faculties of Nursing and Science had mean admission averages of 90.0 per cent, the highest of all direct-entry faculties.

The overall ten year trend shows an increase in admission averages among registered direct-entry students. Over the years, the programs offered by the faculties have gained recognition and demand, which has attracted prospective students of higher quality.

Table 4: Mean Averages of Registered Students (2009 to 2018)

Faculty	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	Trend
ALES	80	81	81	81	82	85	84	83	83	84	↑
Arts	80	80	80	79	80	81	81	81	81	82	↑
Augustana	79	79	79	78	80	80	80	81	82	81	↓
Education				79	82	81	80	81	81	82	↑
Engineering	86	86	86	87	88	89	90	90	89	89	→
KSR	80	81	82	83	84	84	83	84	85	86	↑
Native Studies	73	73	75	77	75	74	74	74	75	77	↑
Nursing	82	81	81	82	84	84	86	87	89	90	↑
Campus Saint-Jean	80	81	81	80	80	80	81	81	80	81	↑
Science	83	83	84	85	86	88	88	89	89	90	↑

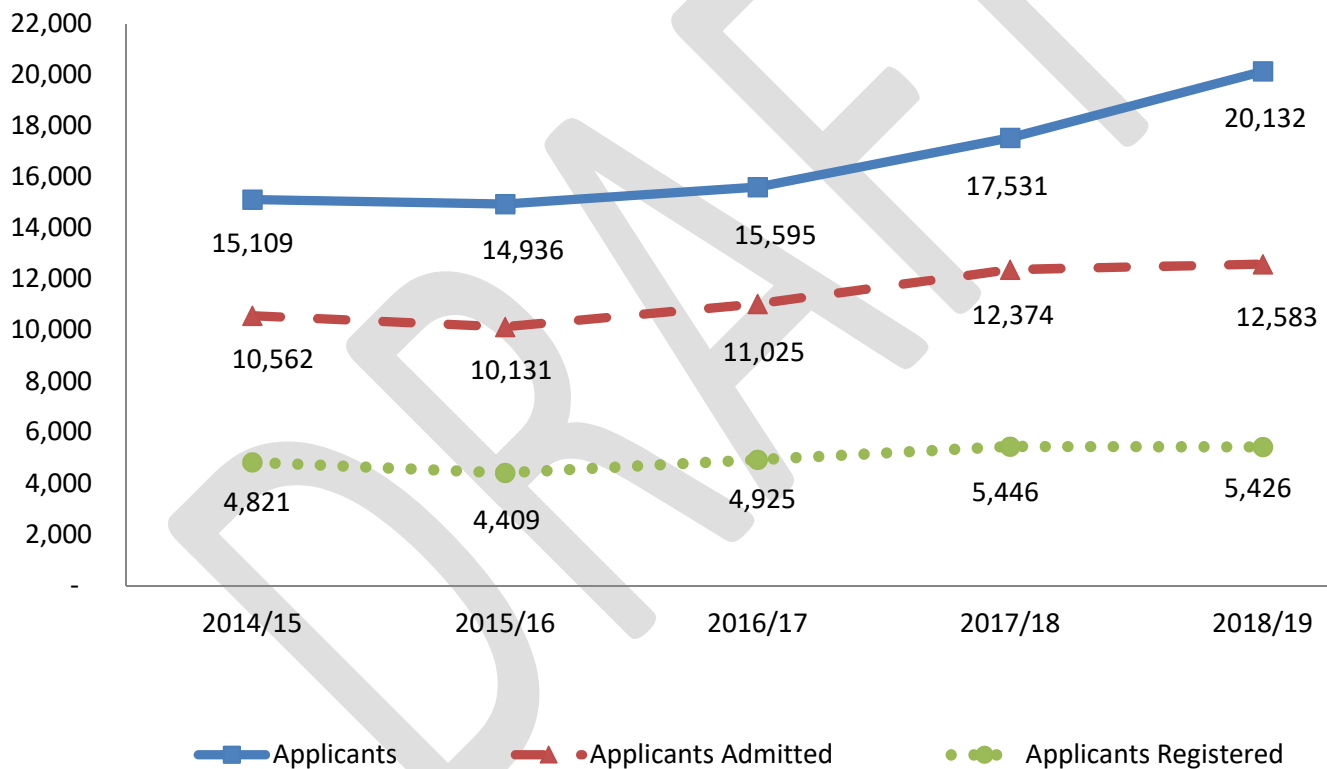
Source: Office of the Registrar

2.6 APPLICANT YIELD, UNDERGRADUATE DIRECT-ENTRY

The number of direct-entry applicants grew substantially by 14.8 per cent to reach 20,132 in 2018/19. Of those applicants, 12,583 applicants were admitted, a modest growth of 1.7 per cent compared to the preceding cycle. This produced a direct-entry admission rate of 62.5 per cent, much lower than last cycle's 70.6 per cent. The number of admission offers made in any given enrolment cycle is determined by the needed headcount as only a proportion of the admitted applicants are expected to eventually register.

For 2018/19, a total of 5,426 or 43.1 per cent of our admitted direct-entry applicants yielded into registrations, maintaining the university's direct-entry intake at a level that is similar to the previous cycle.

Figure 7: Direct-Entry Applicant, Admission and Registration Numbers (2014 to 2018)



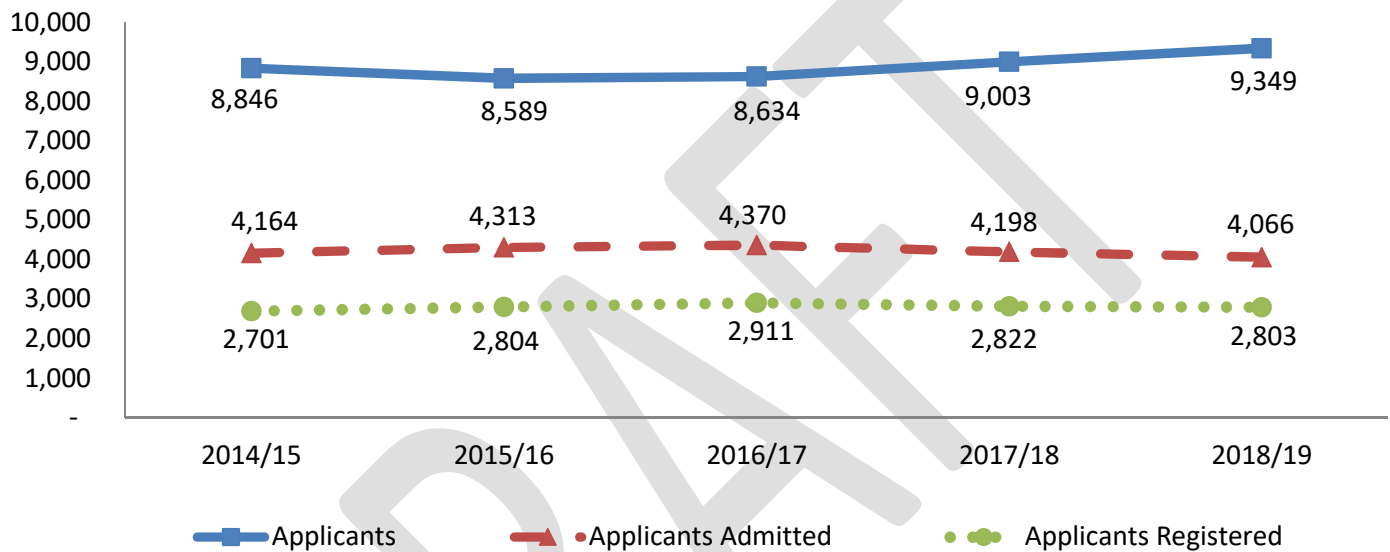
Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report

Note: Applicants admitted shown for 2014/15 through 2016/17 will differ from those shown in previous years' annual reports as the current numbers now encompass total admission offers made rather than active offers alone. The institution has adopted an enhanced methodology to track all applicants who were initially admitted but had their offers declined, cancelled or revoked.

2.7 APPLICANT YIELD, UNDERGRADUATE POST-SECONDARY TRANSFER

In 2018/19, the total number of post-secondary transfer applicants was 9,349. While this number grew by 346 or 3.8 per cent, the number of post-secondary transfer applicants admitted decreased by 132 or 3.1 per cent. This means the admission rate for 2018/19 was 43.5 per cent, a little lower than last cycle's admission rate of 46.6 per cent. Of the 4,066 admitted applicants, 68.9 per cent registered. At 2,803, the number of registered applicants remained relatively unchanged from last year.

Figure 8: Post-Secondary Transfer Applicant, Admission and Registration Numbers (2014 to 2018)



Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report

Notes:

1. Data in the above chart does NOT include Internal Transfer applicants.
2. Applicants admitted shown for 2014/15 through 2016/17 will differ from those shown in previous years' annual reports as the current numbers now encompass total admission offers made rather than active offers alone. The institution has adopted an enhanced methodology that allows tracking of applicants who were initially admitted but had their offers declined, cancelled or revoked.

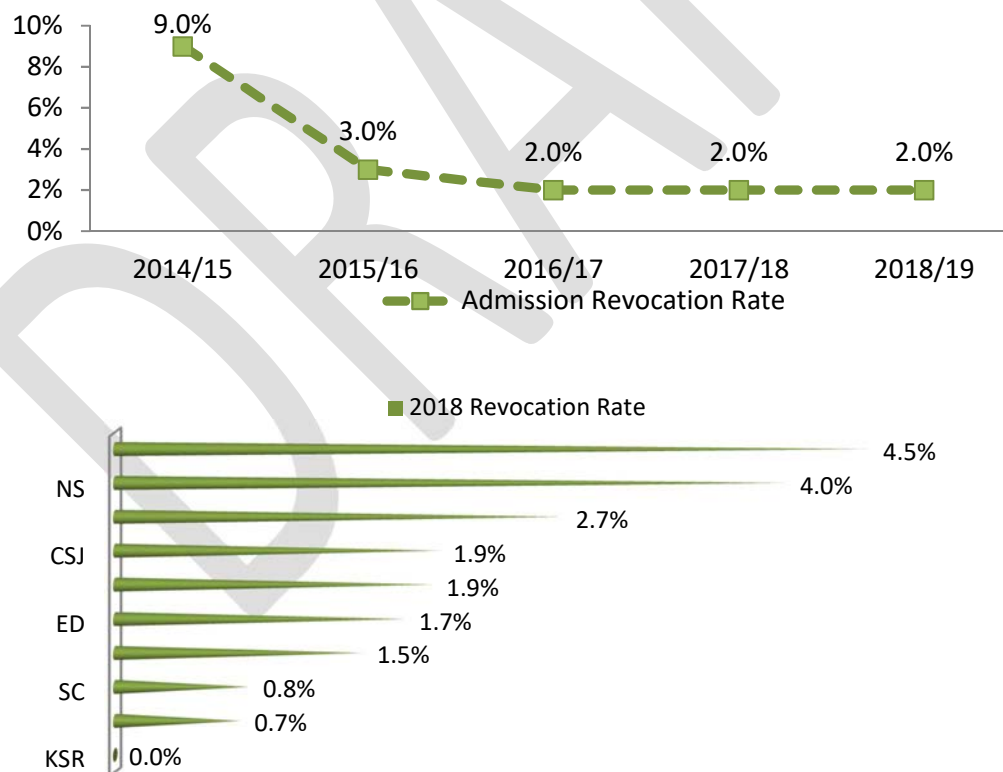
2.8 ADMISSION REVOCATION RATES, UNDERGRADUATE DIRECT-ENTRY

Direct-entry admission decisions are not based solely on final Grade 12 marks. A significant number of early admission offers are based on self-recorded Grade 11 marks or a combination of Grade 11 and 12 marks. Such early admissions are made conditionally and are contingent on the applicants' final Grade 12 average meeting the university's minimum requirement of 70.0 per cent. If the minimum requirement is not met upon receipt of final transcripts, the admission offers are revoked. From 2016/17 to 2018/19, direct-entry revocation rates remained steady at 2.0 per cent, but the rates widely varied based on faculty.

At 4.5 per cent, the Faculty of Engineering continued to hold the highest revocation rate in 2018/19, even after decreasing by 0.4 per cent from 2017/18. The high revocation rate for the Faculty of Engineering is due to the faculty's minimum final Grade 12 revocation average being much higher than the university minimum of 70.0 per cent as indicated in footnote 5 below.

The Faculty of Kinesiology, Sport, and Recreation saw a drop in revocation rate by 1.5 per cent to essentially zero. The seemingly high revocation rate of 4.0 percent in the Faculty of Native Studies is mainly due to being a small size faculty, such that small changes present as high proportions.

Figure 9: Direct-Entry Admission Revocation Rates (2016 to 2018)



Source: Office of the Registrar

6 The minimum final Grade 12 requirement for the Faculty of Engineering is often higher than 70.0%. For the 2018 enrolment cycle, Engineering revoked offers for final Grade 12 averages below 80.0% (or below 84.0%) depending on the applicant's last school curriculum.

3. INTERNATIONAL UNDERGRADUATE ENROLMENT

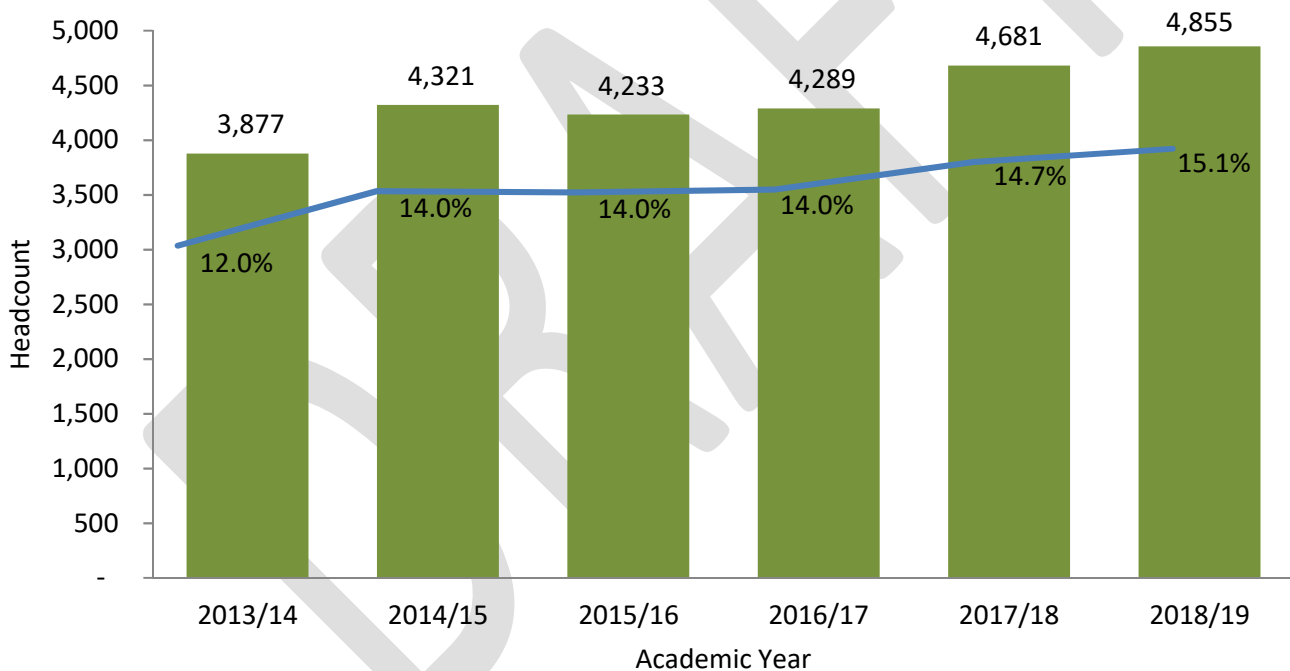
3.1 INTERNATIONAL ENROLMENT HEADCOUNT, UNDERGRADUATE

International undergraduate enrolment has continued to rise since 2013/14. A total of 4,855 international students were enrolled in the 2018/19 cycle, an increase of 3.7 per cent from 2017/18.

The proportion of international undergraduate students has now reached 15.1 per cent. The institutional target for international enrolment is 15.0 per cent.

The university will need to strategically manage enrolment to maintain the 15 per cent ratio as demand from international applicants continues to be strong.

Figure 10: International Enrolment Headcounts and Proportions in Total Enrolment (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

Notes:

1. An international student is an individual who is not a Canadian citizen nor a permanent resident.
2. Data shown includes Postgraduate Medical and Dental Education.
3. The bar chart indicates total international headcount.
4. The blue line indicates the proportion of total undergraduate enrolment that is contributed by international headcount.
5. The international headcounts shown for 2015/16 and 2016/17 differ by 11 from what was reported in 2015 and 2016 annual reports as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/16, Career Preparation Program data was separated from undergraduate data.

3.2 TOP SOURCE COUNTRIES BY STUDENT CITIZENSHIP, UNDERGRADUATE

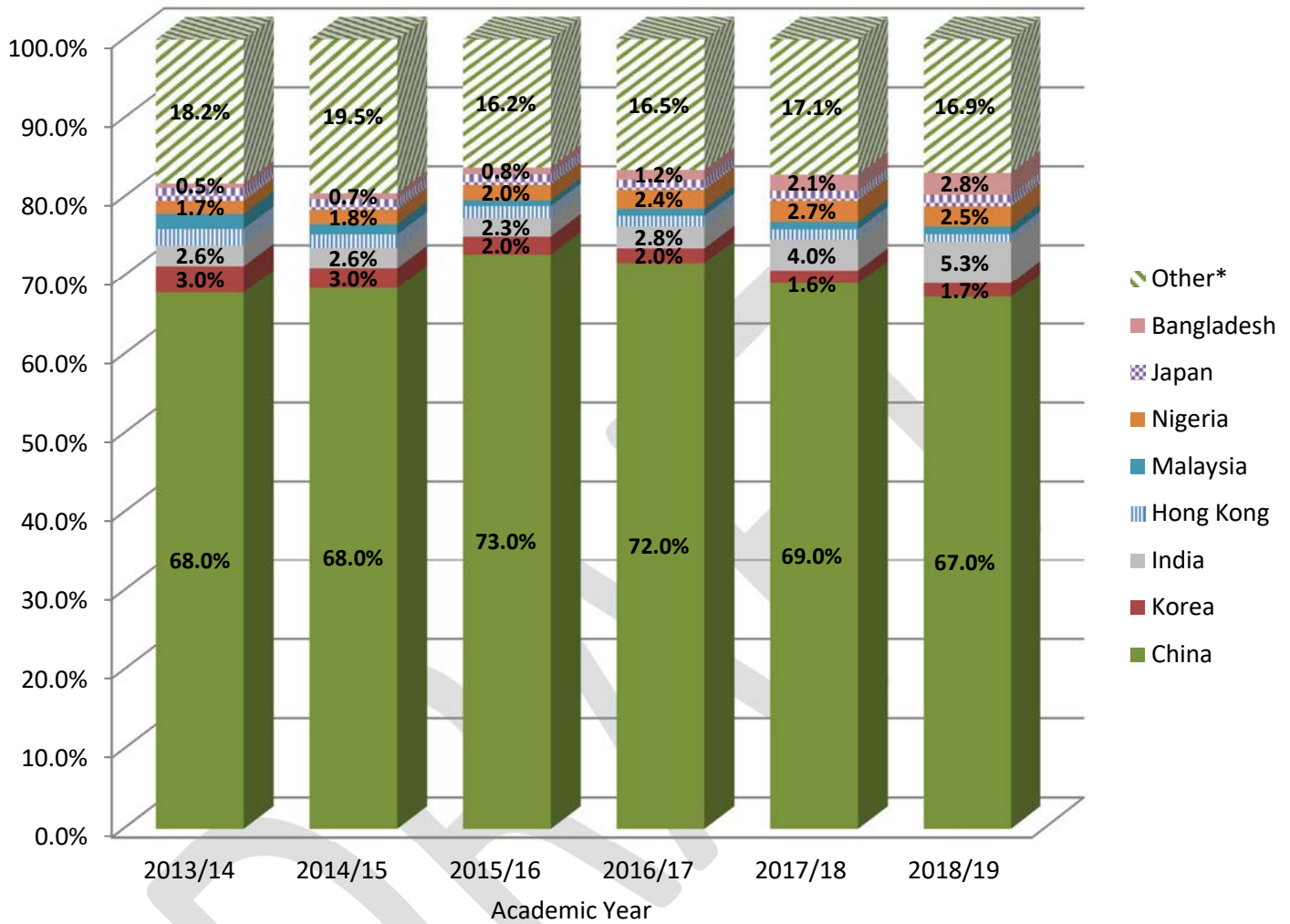
The proportion of international students holding citizenship from China has been declining since it reached an all-time high of 73.0 per cent in 2015/16, but China still remains the top citizenship country of international students, constituting 67.0 per cent of the international population in 2018/19.

- During the same time frame, India, the second largest country with respect to our international student population, has grown to 5.3 per cent of that population in 2018/19, more than double of what it was in 2013/14.
- In contrast, the proportion from the Republic of Korea has shrunk from 3.0 per cent in 2013/14 to 1.7 per cent in 2018/19.

For the first time this year, Bangladesh has joined the list of countries with 100 or more headcounts amount undergraduate students. With 134 students, Bangladesh has replaced Nigeria as the third largest country of citizenship for international students. The number of Nigerian students enrolled in undergraduate programs is currently 123, making it the fourth largest country of citizenship among the university's international students.

In Figure 11, countries that are not explicitly shown are aggregated as "other". The proportion of international students in the "other" countries category has been steadily increasing since 2015/16, demonstrating continued progress towards the university's goal of increasing diversity in our international undergraduate student population while maintaining strong connections to traditional source countries.

Figure 11: Source Countries of International Students by Citizenship (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

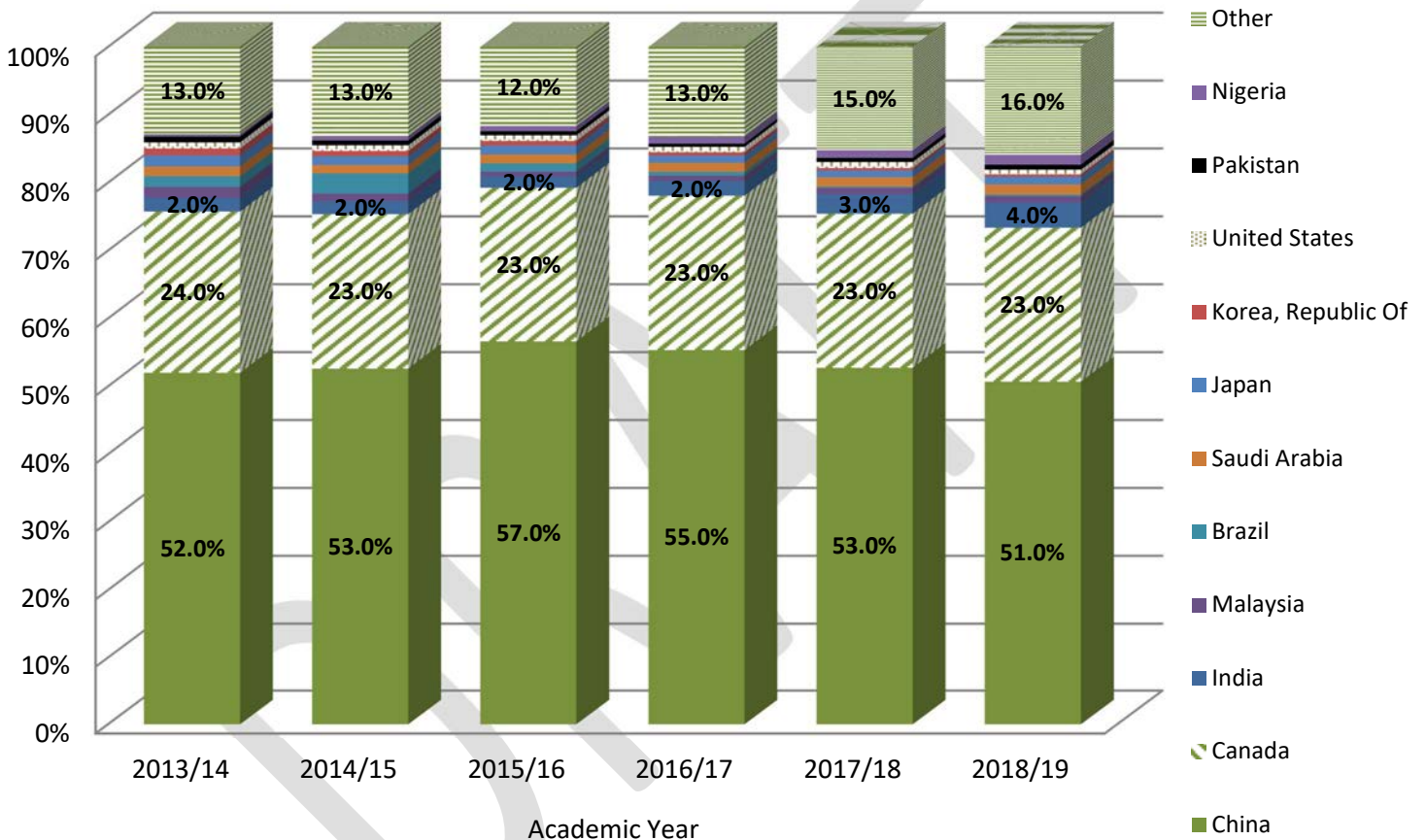
Notes

1. "Other" consists of the remaining international countries not shown in chart.
2. The proportion of international undergraduates from China shown for 2016/17 differ by 1.0 per cent from what was reported in the 2016 annual report as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/16, Career Preparation Program data was separated from undergraduate data.

3.3 TOP SOURCE COUNTRIES BY LAST SCHOOL LOCATION, UNDERGRADUATE

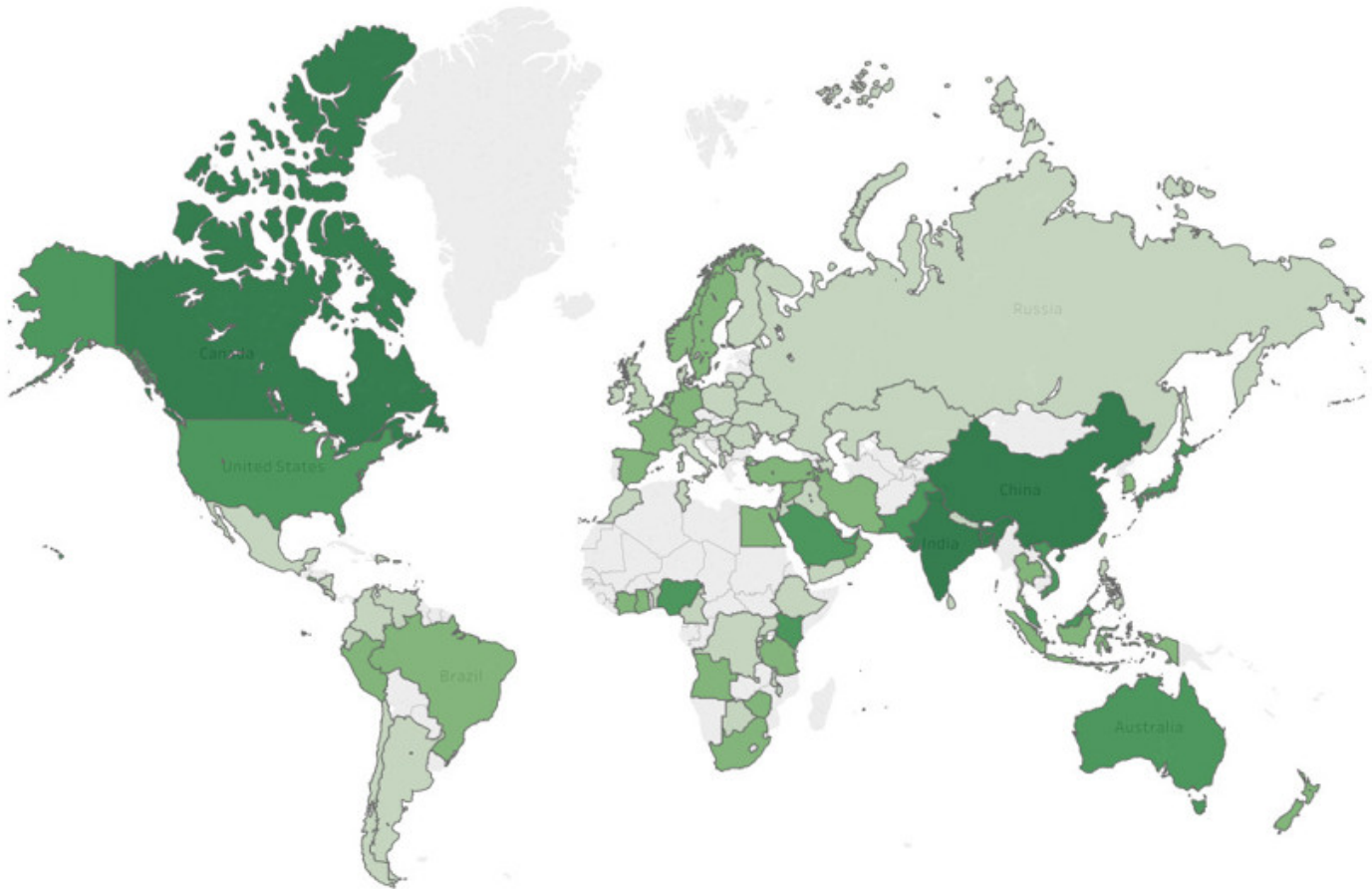
For some of our undergraduate students, the country of their last school attended is not necessarily the same as their country of citizenship. In 2018/19, the most recent school attended was in China for the majority of international students. This proportion has been decreasing since 2015/16, but at 51.0 per cent, schools in China still make up over half of where international students most recently attended. Nigeria is the last school location for 4.0 per cent of international students and has doubled in the past two cycles. The proportion of international students with last attended schools in Canada remains unchanged at 23.0 per cent in 2018/19.

Figure 12: Source Countries of International Students by Last School Location



Source: Office of the Registrar, December 1 REGSTATS Archive

Figure 13: Source Countries of International Students by Last School Location (2018)



Map based on Longitude (generated) and Latitude (generated). Color shows details about Group. Details are shown for Country.

- Group**
- Headcount>0
 - Headcount>5
 - Headcount>20
 - Headcount>100

Source: Office of the Registrar, December 1 REGSTATS Archive

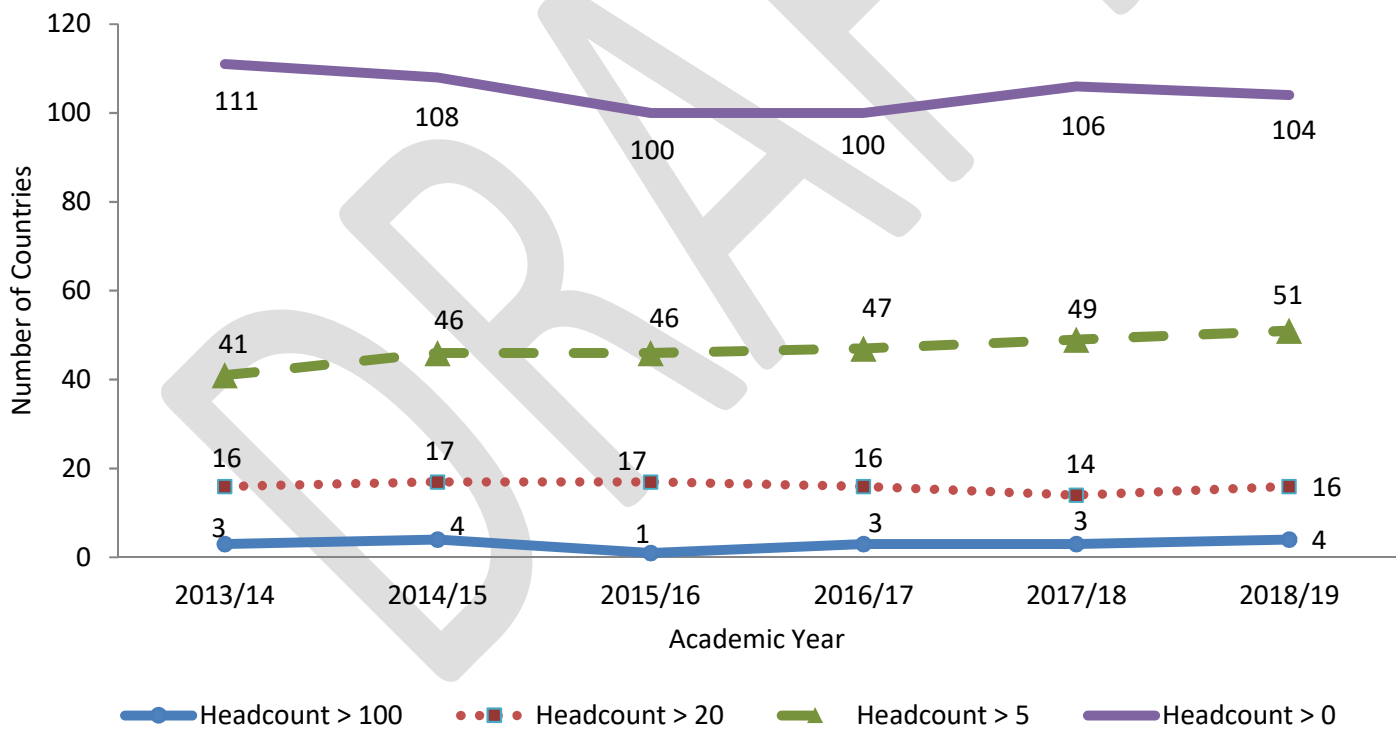
3.4 INTERNATIONAL DIVERSITY, UNDERGRADUATE ENROLMENT

The total number of countries represented by our international students decreased by 2 to 104 in the past year. This number was previously as high as 111 in 2013/14.

- Within the 102 countries now represented by international students, 51 have at least five undergraduate students out of which 16 have at least twenty undergraduates.
- Bangladesh now has 100 or more students enrolled in 2018/19, and joins China, India, and Nigeria as the top citizenship countries with at least 100 students.

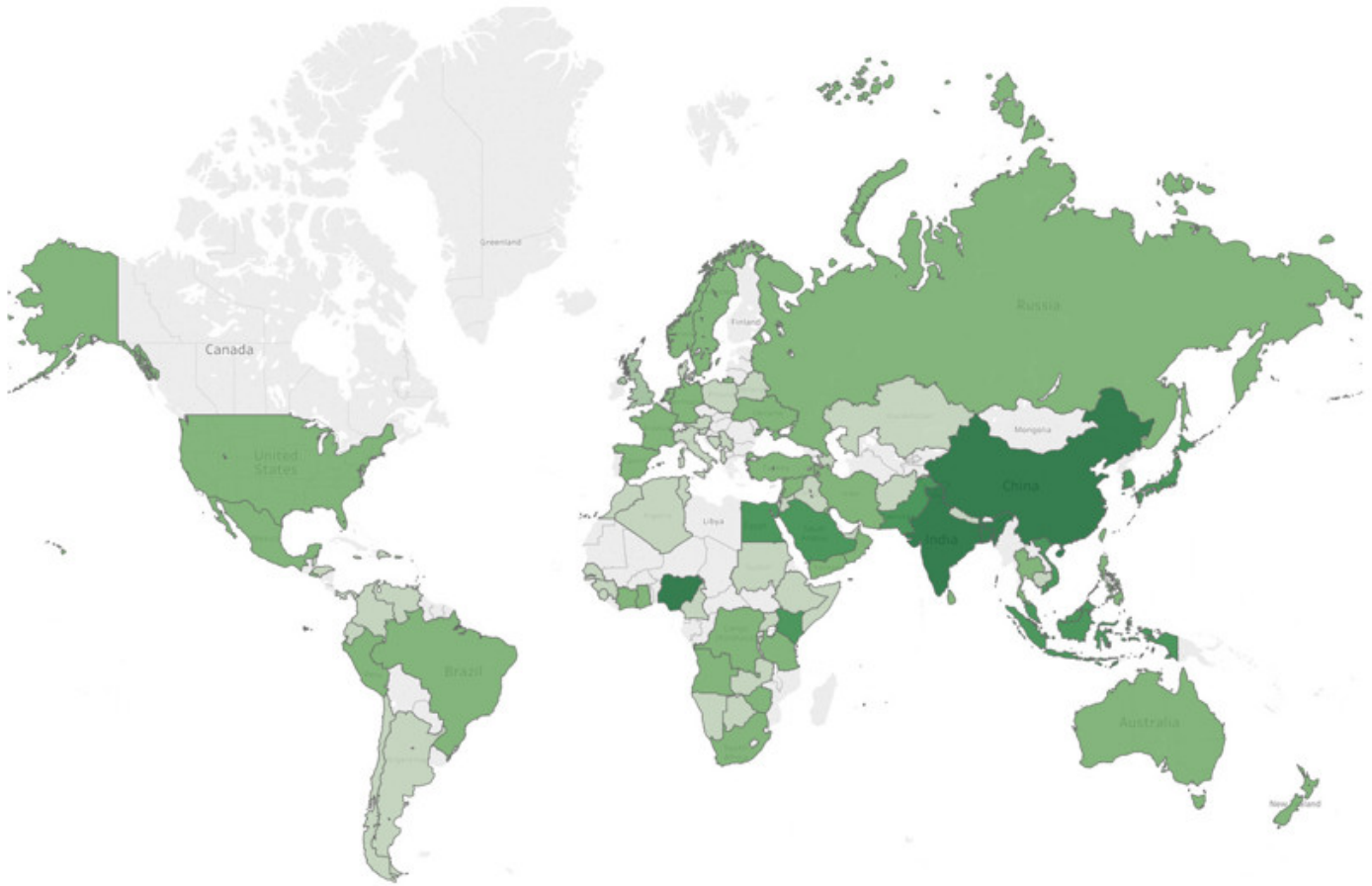
Although the number of countries with at least one headcount has decreased, the increasing trend for the number of countries with at least five headcounts is indicative of progress in the depth of diversification as opposed to breadth.

Figure 14: Number of Country Citizenship in International Student Headcount (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

Figure 15: Citizenship Country of International Undergraduate Students (2018)



Map based on Longitude (generated) and Latitude (generated). Color shows details about Group. Details are shown for Country.



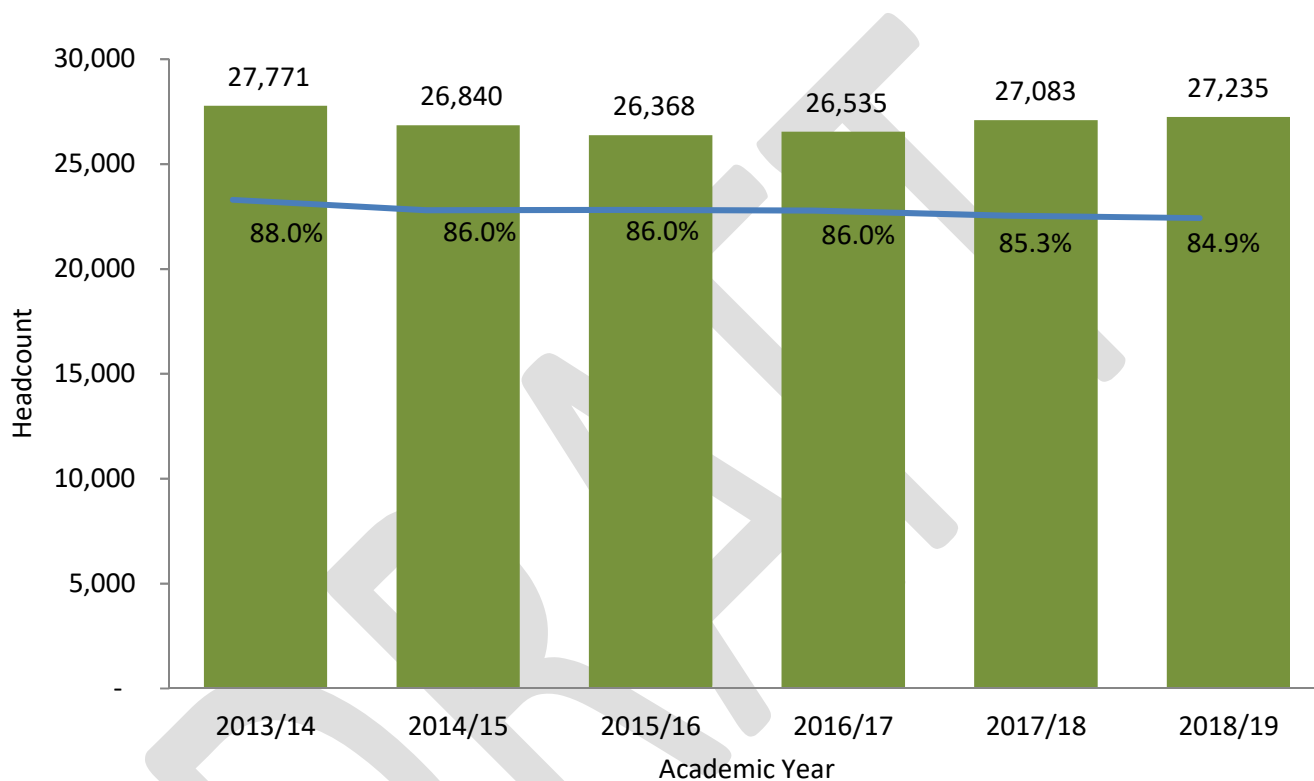
Source: Office of the Registrar, December 1 REGSTATS Archive

4. DOMESTIC UNDERGRADUATE ENROLMENT

4.1 DOMESTIC HEADCOUNTS AND RATIOS, UNDERGRADUATE

Within our student population, those with Canadian citizenship or permanent resident status are considered domestic students. With 27,235 domestic undergraduate headcounts, the proportion of domestic students in our undergraduate population now stands at 84.9 per cent.

Figure 16: Domestic Enrolment Headcounts and Proportions in Total Enrolment (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

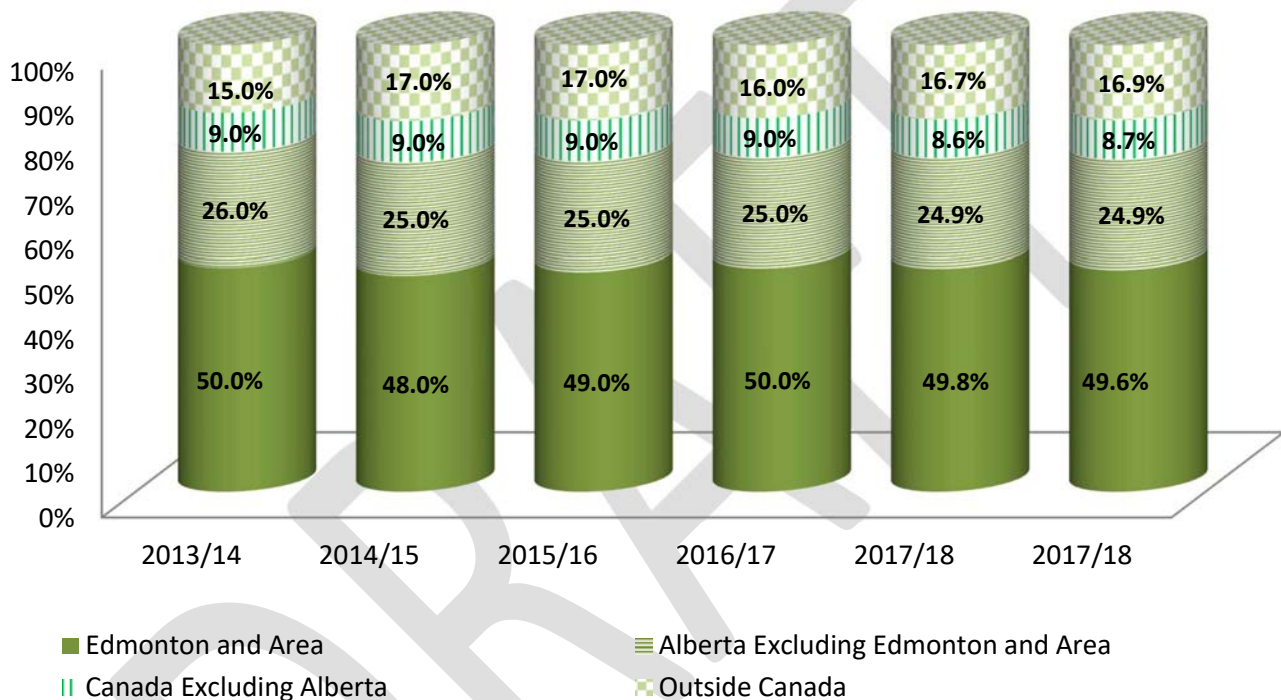
Notes:

1. Includes Postgraduate Medical and Dental Education.
2. The bar chart indicates total domestic headcount.
3. The blue line indicates the proportion of total undergraduate enrolment that is contributed by the total domestic headcount.
4. The Domestic Enrolment Headcounts numbers shown for 2015/16 and 2016/17 differ by 14 and 16 respectively from what was reported in 2015 and 2016 annual reports as the current data no longer includes students in the Career Preparation Program of Campus Saint-Jean. As of 2015/16, Career Preparation Program data was separated from undergraduate data.

4.2 ORIGIN AT TIME OF APPLICATION, UNDERGRADUATE

The proportion of students with home addresses in Edmonton and the surrounding area slightly decreased in 2018/19 to 49.6 per cent, while the proportion from the rest of Alberta stayed the same at 24.9 per cent. The proportion from the rest of Canada grew 0.1 per cent to reach 8.7 per cent in 2018/19. Students originating from within Canada are not always domestic. In the same way, students coming from outside Canada are not always considered international as they may be Canadian citizens or permanent residents.

Figure 17: Distribution of Undergraduate Students by Permanent Home Address at Time of Application (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

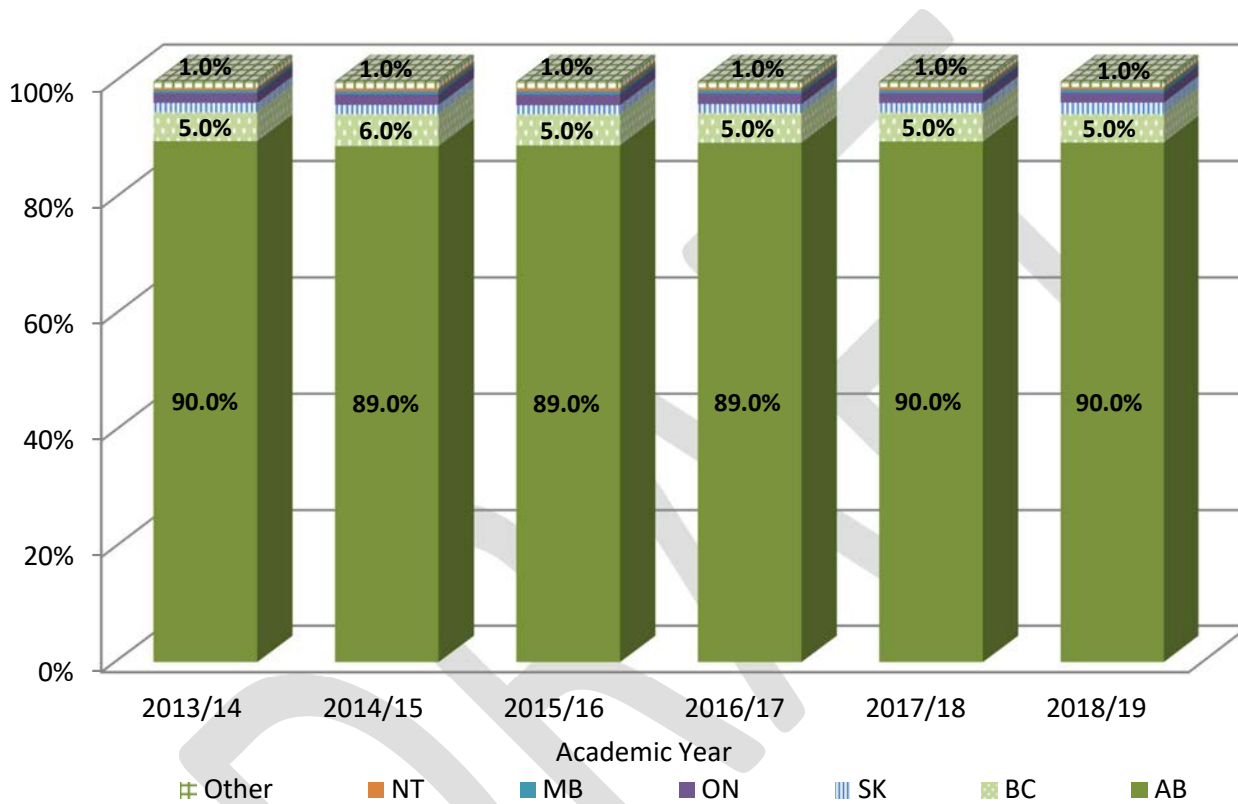
Notes:

1. Includes Postgraduate Medical and Dental Education.
2. Edmonton and surrounding areas include Edmonton, Sherwood Park, St. Albert, Spruce Grove, Leduc, Fort Saskatchewan, Stony Plain, and Beaumont.
3. Outside Canada percentages listed do not equate to the university's undergraduate international enrolment. Students listing an address outside of Canada may be study-permit students, Canadian citizens, or permanent residents.
4. The ratios shown for 2012/13 and 2014/15 do not add up to 100.0 percent due to rounding.

4.3 PROVINCE OF HOME ADDRESS AT TIME OF APPLICATION, UNDERGRADUATE

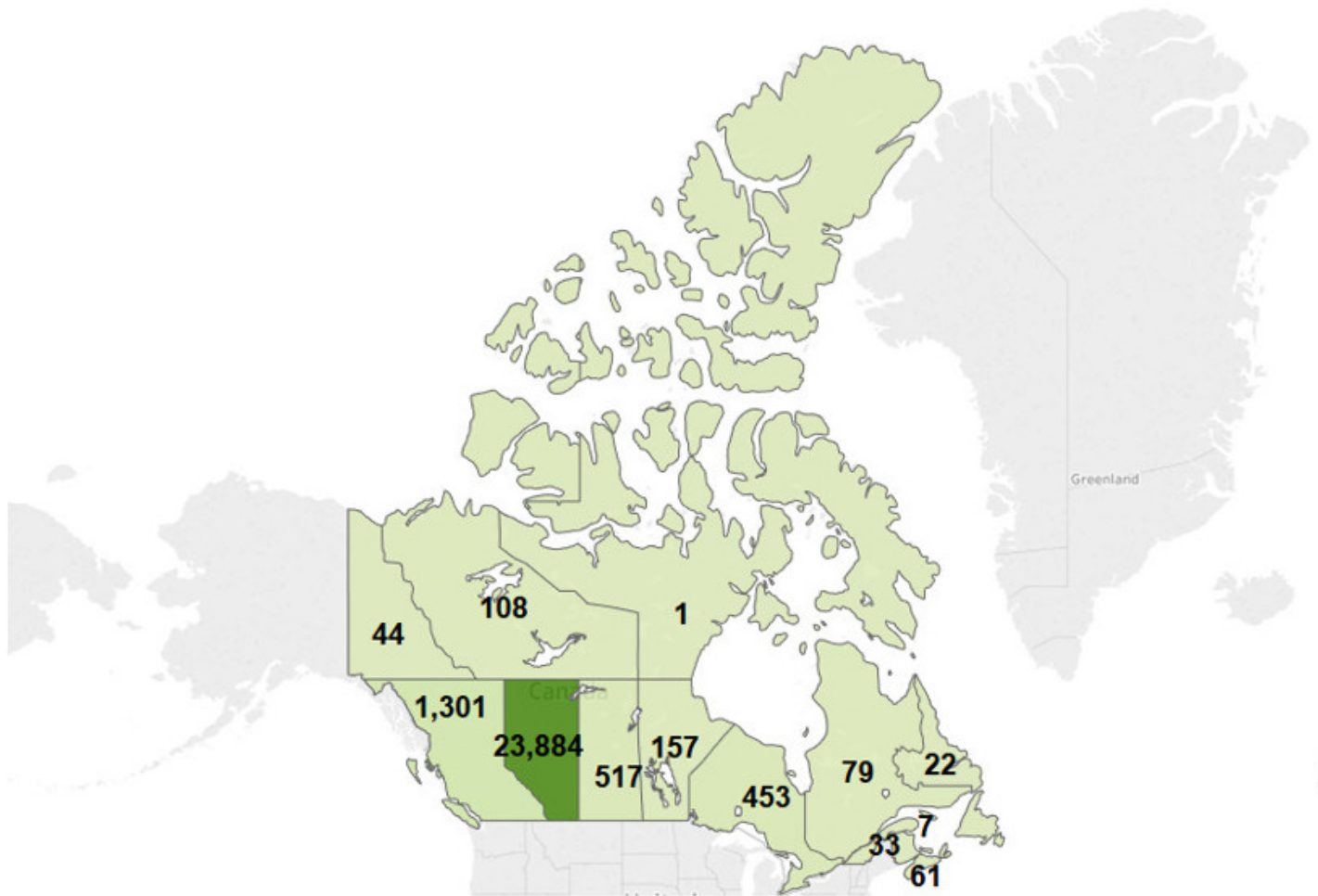
In the 2018/19 cycle, 83.0 per cent of all undergraduate students came from within Canada. Out of these students, 90.0 per cent were from Alberta and 5.0 per cent were from British Columbia. The remaining 5.0 per cent originated from the other provinces and territories in Canada. The 90.0 per cent ratio originating from Alberta is steady with the ratio that was obtained in 2017/18 and a slight increase from the year prior.

Figure 18: Province of Origin among Students with Permanent Home Addresses in Canada (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive

Figure 19: Province of Origin among Students with Permanent Home Addresses in Canada (2018)



Map based on Longitude (generated) and Latitude (generated). Color shows sum of Number of Registered. Details are shown for Province.



Source: Office of the Registrar, December 1 REGSTATS Archive

5. INDIGENOUS UNDERGRADUATE ENROLMENT

5.1 TOTAL INDIGENOUS ENROLMENT HEADCOUNT, UNDERGRADUATE

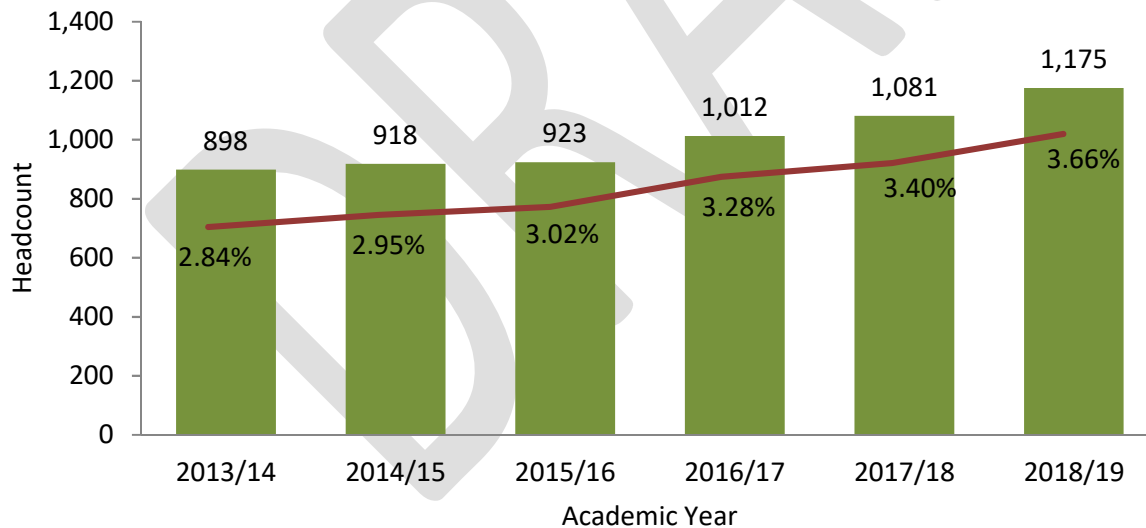
“The University of Alberta is committed to the recruitment, retention and graduation of Indigenous students. The University recognizes that Indigenous students have traditionally been under represented in higher education, and strives towards having the university’s Indigenous student population attain a level that is at least proportionate to the Indigenous population of the province.”⁷

Statistics Canada’s National Household Survey of 2016 indicated that Indigenous people comprise 6.5 per cent of Alberta’s population⁸. Released in June 2016, our Institutional Strategic Plan, For the Public Good ⁹, echoes the commitment to engage Indigenous students and nations. As part of the implementation of our Institutional Strategic Plan, the university is in the process of developing an Indigenous undergraduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada.

The university’s data on Indigenous enrolment is based on self-identification and therefore it is likely underreported.

The total number of self-identified Indigenous students continues to increase. For 2018/19, a total of 1,175 Indigenous students were enrolled, making up 3.7 per cent of all undergraduate enrolment.

Figure 20: Indigenous Enrolment Headcounts and Proportion in Total Enrolment (2013 to 2018)



Source: Office of the Registrar, December 1 REGSTATS Archive
Note: Includes Postgraduate Medical and Dental Education.

⁷ [2018–19 University Calendar](#)

⁸ [Statistics Canada National Household Survey, 2016](#)

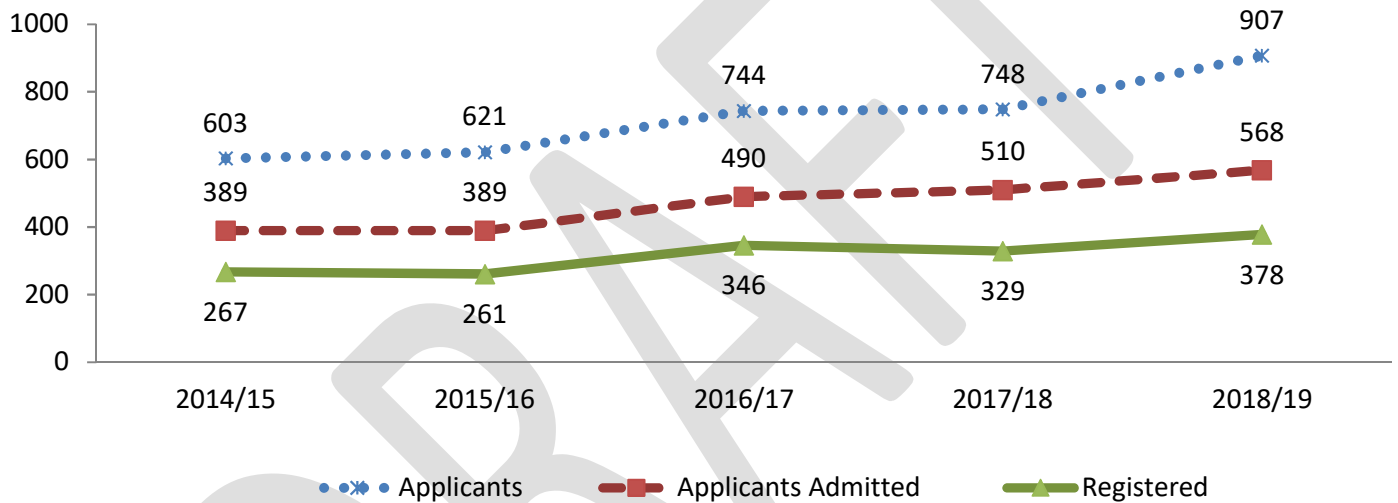
⁹ [University of Alberta Institutional Strategic Plan For the Public Good > Build > Objective 1 > Strategy 2](#)

5.2 INDIGENOUS APPLICATION AND REGISTRATION TRENDS, UNDERGRADUATE

In 2018/19, the number of new-to-university Indigenous applicants grew 21.3 per cent and reached a total of 907, which represented 159 more applicants than the previous year. A total of 568 of the applicants were admitted. This represents an admission rate of 62.6 per cent.

- From those admitted, there were 378 new registrations.
- As noted in Section 5.1, the total count of Indigenous students has increased dramatically, which is supported by the significant increase in new Indigenous students. This is indicative of successful cross-campus recruitment and student support efforts in growing the Indigenous community's interest and demand for studies at this university.

Figure 21: New-to-University Indigenous Applicants, Admission and Registration (2013 to 2018)



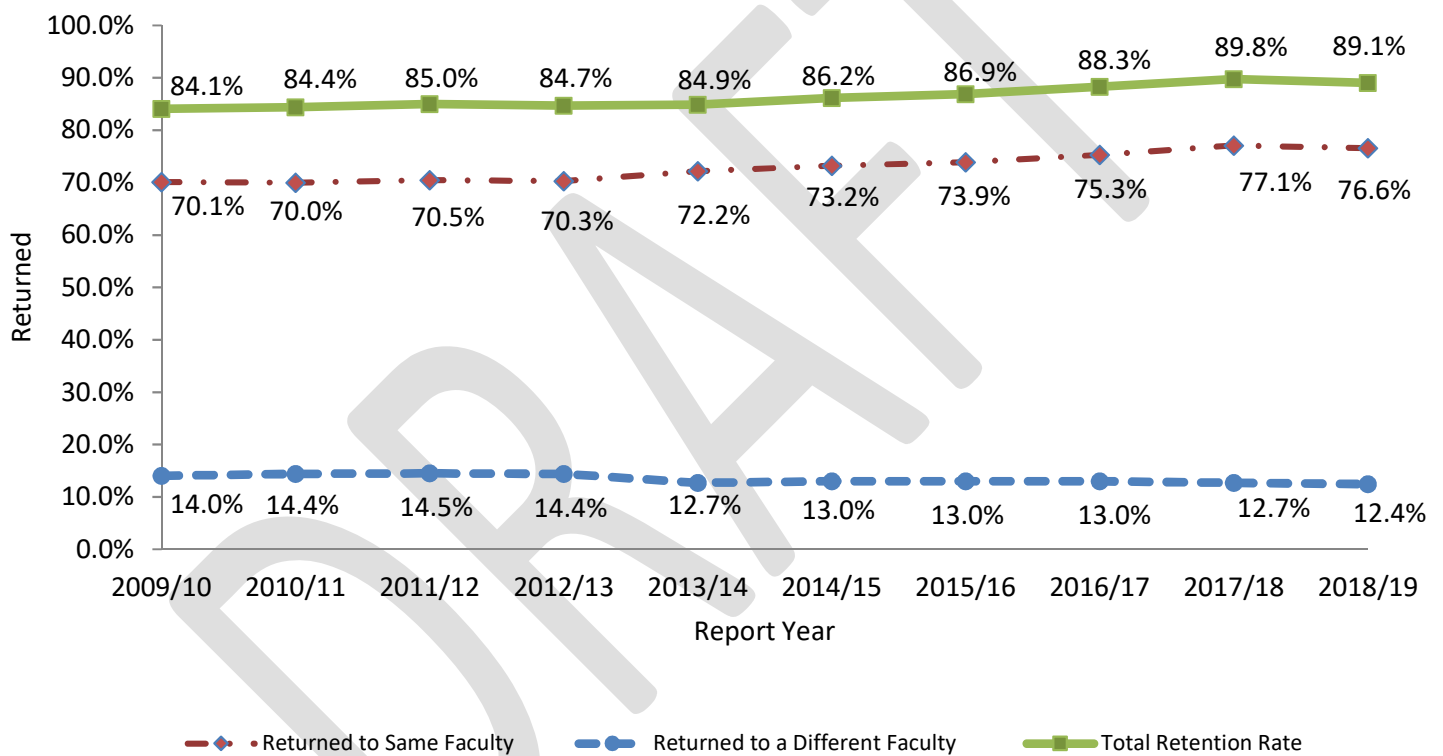
Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report

6. RETENTION AND COMPLETION RATES

6.1 STUDENT RETENTION, YEAR 1 TO YEAR 2, UNDERGRADUATE

The retention rates of first-year undergraduate students had been increasing since 2012/13 and peaked in 2017/18 before dropping slightly in 2018/19. Overall, 89.1 per cent of students in their first year of study in 2017/18 returned to the institution in 2018/19 for their second year of study, down from 89.8 per cent in the prior cycle. The proportion of first-year students who returned in 2018/19 to the same faculty was 76.6 per cent, down from 77.1 per cent in 2017/18. The proportion of first-year students who returned to a faculty other than their first-year faculty was 12.4 per cent in 2018/19, down from 12.7 per cent in 2017/18.

Figure 22: Proportion of First-Year Undergraduates who returned for their Second Year of Study (2009 to 2018)

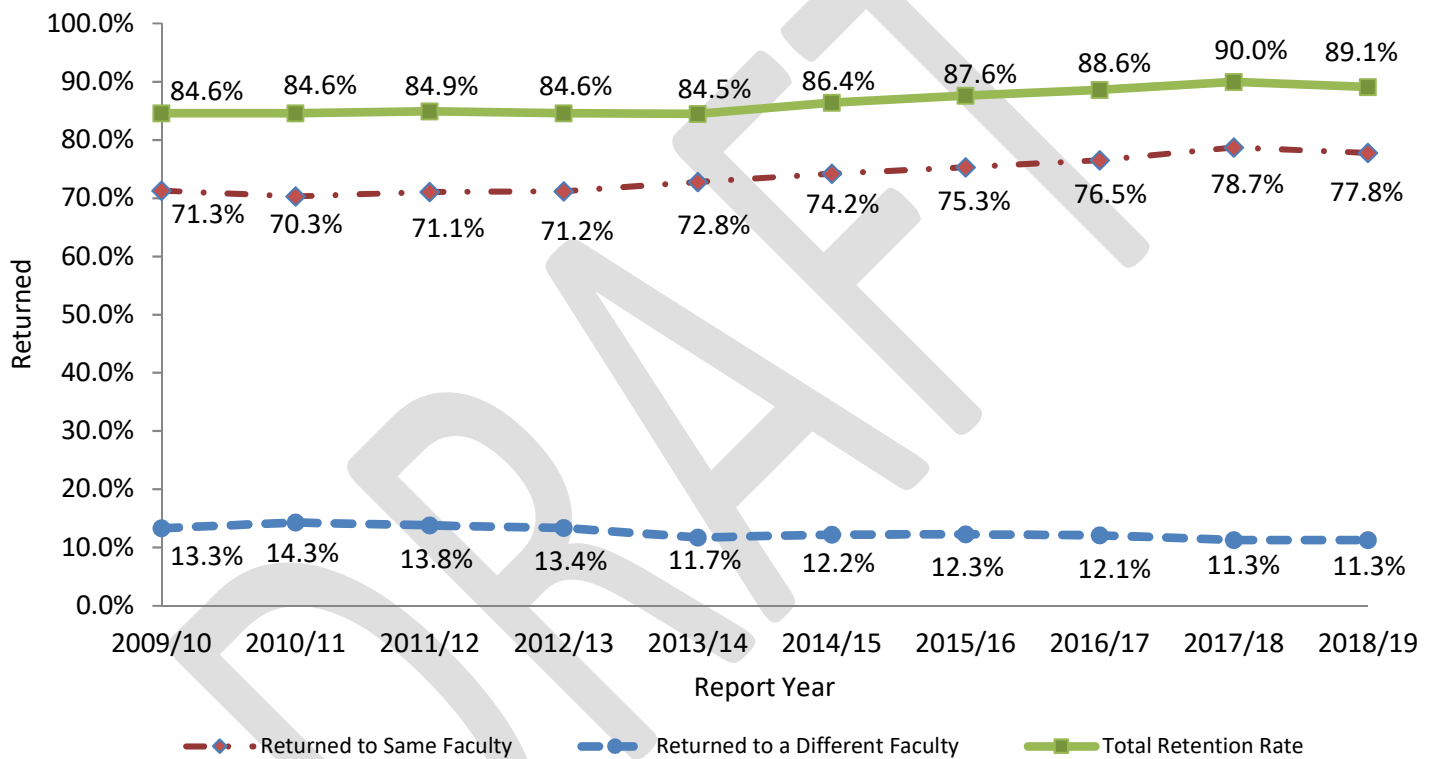


Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Retention Rates Table

6.2 STUDENT RETENTION, YEAR 1 TO YEAR 2, DOMESTIC UNDERGRADUATE

In the 2018/19 academic year, 89.1 per cent of first-year undergraduate students from the year prior returned for their second year of study. In a similar way to the overall year one to year two retention rates, overall retention among domestic students had been increasing and reached its highest rate in 2017/18, at 90.0 per cent, before slightly dropping to 89.1 per cent in 2018/19. The proportion of domestic first-year students who returned to the same faculty decreased from 78.7 per cent in 2017/18 to 77.8 per cent in 2018/19, while the proportion of students who changed faculties remained unchanged at 11.3 per cent.

Figure 23: Proportion of First-Year Domestic Undergraduates who returned for their Second Year of Study (2009 to 2018)

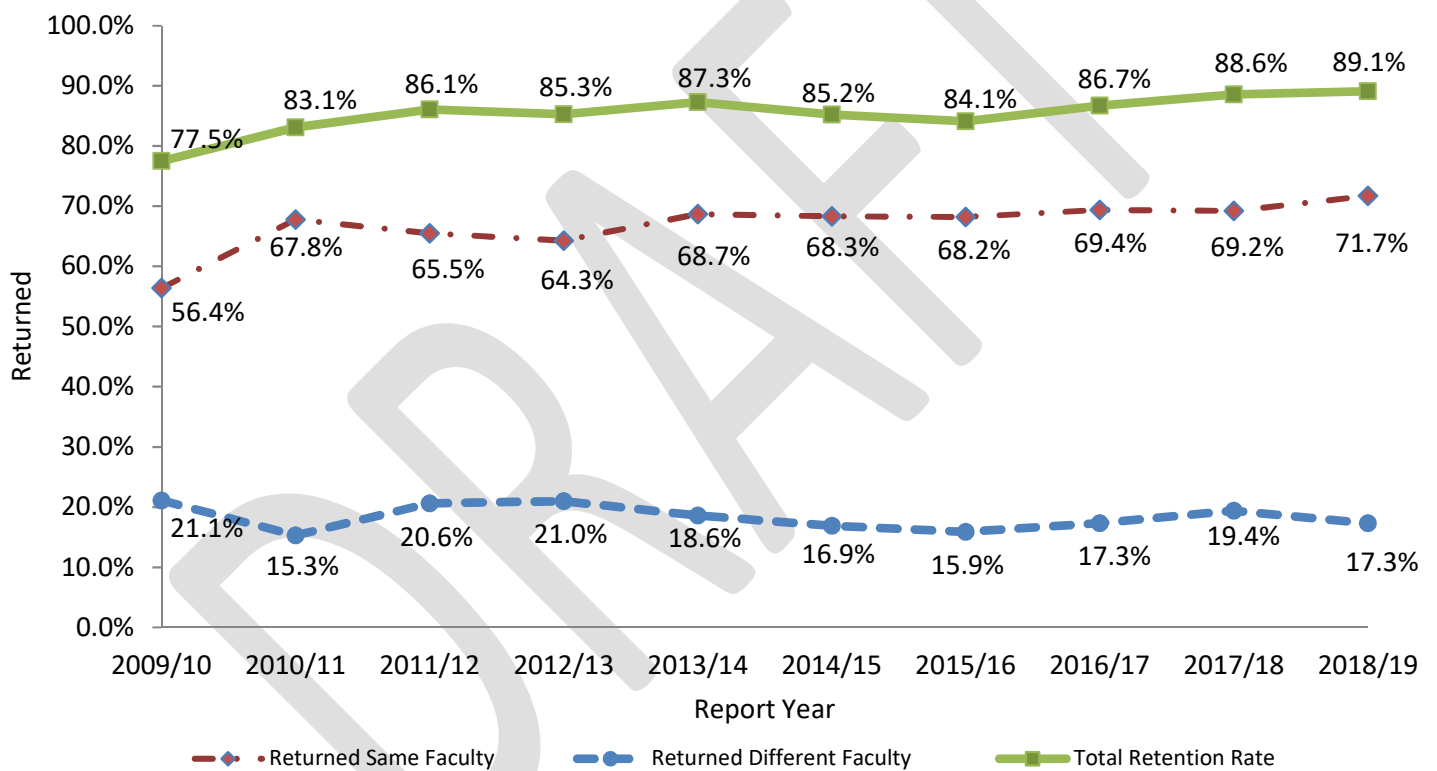


Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Retention Rates Table

6.3 STUDENT RETENTION, YEAR 1 TO YEAR 2, INTERNATIONAL UNDERGRADUATE

Unlike the overall and domestic year one to year two retention rates, the total retention rate among international students in their first year of study had been increasing since 2015/16 and in 2018/19, the retention rate continued to improve to 89.1 per cent. Compared to the previous academic year, a lower proportion of international students changed faculties after the first year and a higher proportion of international students returned to the same faculty. In 2018/19, the proportion of first-year international students who returned to the same faculty was 71.7 per cent and the proportion of first-year international students who changed faculties was 17.3 per cent.

Figure 24: Proportion of First-Year International Undergraduates who returned for their Second Year of Study (2009 to 2018)

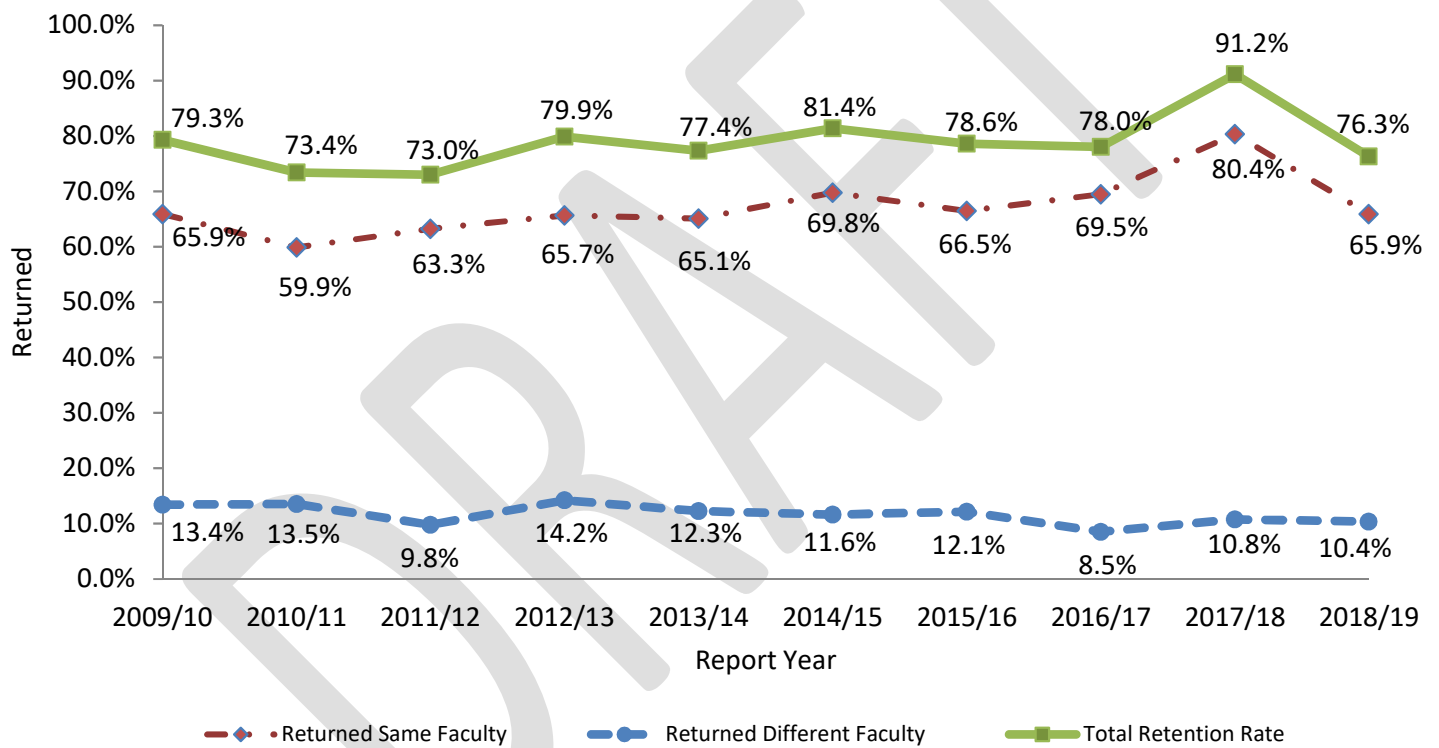


Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Retention Rates Table

6.4 STUDENT RETENTION, YEAR 1 TO YEAR 2, INDIGENOUS UNDERGRADUATE

In the 2018/19 academic year, 76.3 per cent of first-year Indigenous students returned to the institution for year two of their studies, a decrease from a high of 91.2 per cent in 2017/18. This is the lowest year one to year two retention of Indigenous students since 2011/12. The proportion returning to their first year faculty decreased from 80.4 per cent in 2017/18 to 65.9 per cent in 2018/19 and the proportion of students changing faculties was relatively unchanged at 10.4 per cent. The increase in Indigenous retention rate in 2017/18 was mostly attributed to a higher Indigenous retention rate within the Bachelor of Education Elementary program and to a lesser extent, the Bachelor of Arts program. The recent drop in Indigenous retention rate is a correction for this year.

Figure 25: Proportion of First-Year Indigenous Undergraduates who returned for their Second Year of Study (2009 to 2018)



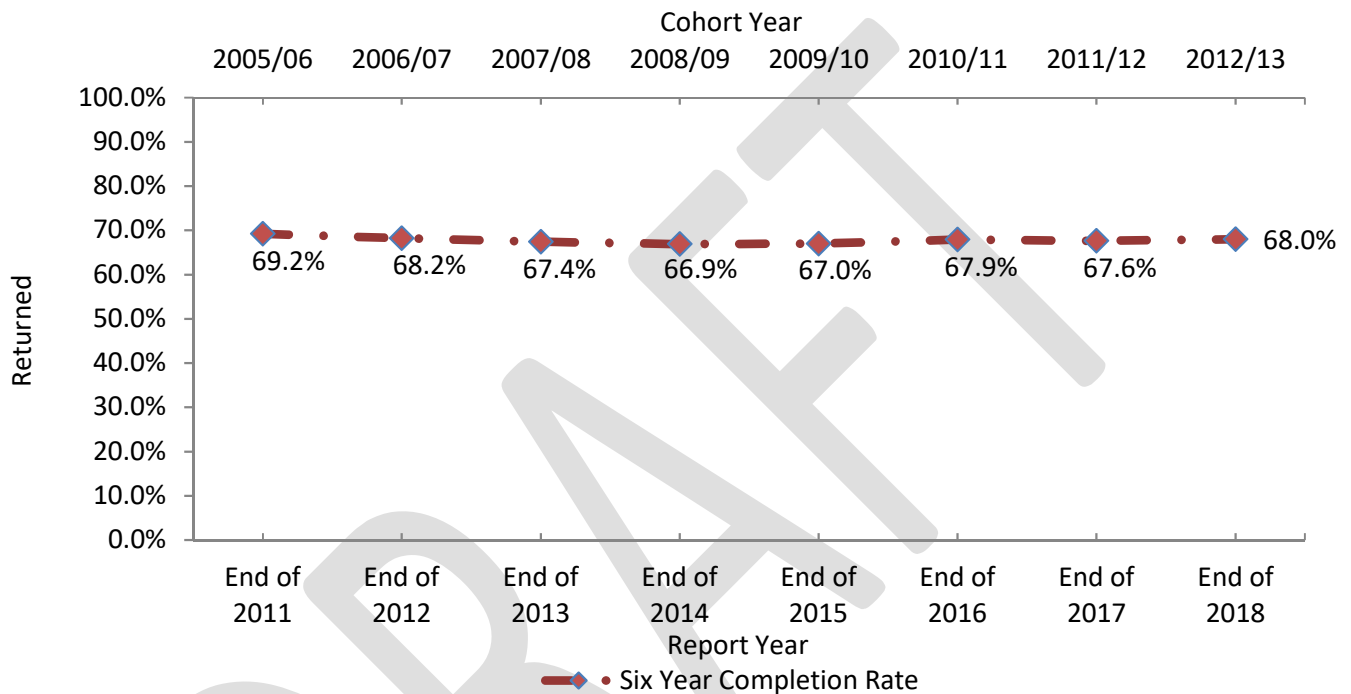
Source: Strategic Analysis and Data Warehousing, Applicant and Enrolment Management Report, Retention Rates Table

Note: The figures shown in this chart may differ from those shown in prior years because the status of Indigenous students are updated retroactively since students self-declare. Those who self-declared as Indigenous this year but did not declare last year will have their status updated for all years.

6.5 SIX-YEAR PROGRAM COMPLETION RATES, UNDERGRADUATE DIRECT-ENTRY

The proportion of direct-entry undergraduate students who completed their program within six years has ranged from 66.9 per cent to 69.2 per cent in the last eight years. The proportion has increased from 67.6 per cent in 2017 to 68 per cent in 2018.

Figure 26: Proportion of Yearly Cohorts who graduate within Six Years of First Admission to a Direct-Entry Undergraduate Program



Source: Strategic Analysis and Data Warehousing, Acorn Institutional Data Warehouse

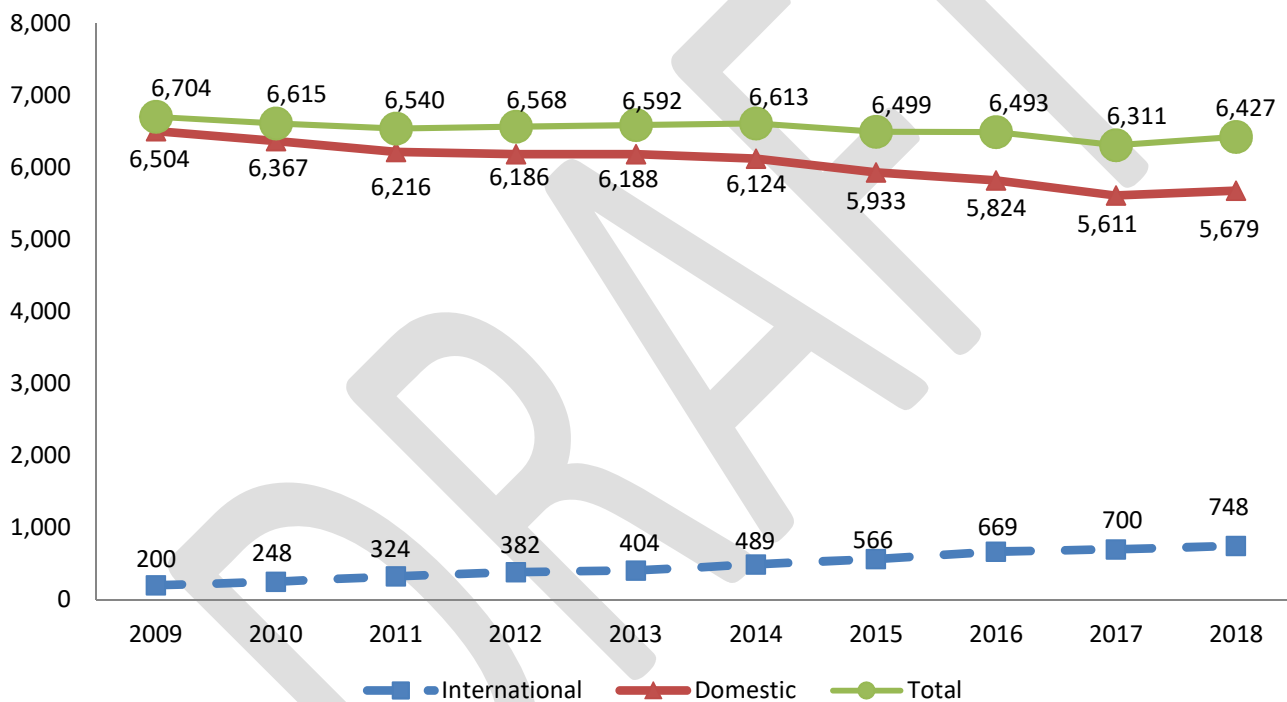
Notes:

1. The cohort for each year comprises students with first admission to a direct-entry undergraduate program. This excludes transfer students.
2. The students in each cohort who graduated from the university in any undergraduate program, within six years, are defined as completers.

6.6 GRADUATION HEADCOUNT, UNDERGRADUATE

A total of 6,427 undergraduate students graduated from the university in 2018. Of those who graduated, 5,679 were domestic students, making up 88.4 per cent of the graduating headcount. The number and proportion of graduating international students have reached 748 or 11.6 per cent of our total undergraduate graduating headcount which are at record highs. While the graduating headcount of those with domestic national status at the time of graduation consists of students who had domestic status at the time of application, the headcount also consists of international students who obtained their permanent residency or Canadian citizenship during the course of their studies.

Figure 27: Undergraduate Graduation Headcount (2009 – 2018)



Source: Strategic Analysis and Data Warehousing, Acorn Institutional Data Warehouse

Note: Numbers shown are as of December 31 of the specified year.

CLOSING REMARKS

It has been a record year for undergraduate enrolment at the University of Alberta. There was an increase in applications over the preceding enrolment cycle, and record-high total undergraduate enrolment. Enrolment for 2018/19 was 2.4 per cent above the institutional target due to unprecedented demand for programs from both domestic and international applicants. In addition, the overall number and proportion of Aboriginal students within the total student headcount reached a record high.

Through the combined efforts of national and international recruitment strategies, and strategic enrolment management, the university's objective to "build a diverse, inclusive community of exceptional students from Edmonton, Alberta, Canada and the world"¹⁰ will continue to be supported. During the implementation of the third year of the Undergraduate National Recruitment Strategy, there will be a continued focus on diversifying the student body to not only attract top students but also ensure they feel supported and excited about continuing their education at the University of Alberta.

One of the University of Alberta's priorities remains to increase the diversity of our undergraduate student population while being accessible and competitive in the university landscape. We are looking forward to the year ahead and the ongoing challenge of refining our enrolment management practices to support the goals and objectives of the university. In addition, continued collaboration with faculties and other stakeholders, new technology and innovation in admissions processes will benefit our students and the university as a whole.

DRAFT

¹⁰ University of Alberta Institutional Strategic Plan, For the Public Good