OPENING SESSION 2:00 - 2:10 p.m.

1. Approval of the Agenda
   Bill Flanagan

2. Comments from the Chair (no documents)
   - Voting at GFC
   - Update from Chair of GPO
   Bill Flanagan

CONSENT AGENDA 2:10 - 2:15 p.m.

[If a member has a question or feels that an item should be discussed, they should notify the Secretary to GFC, in writing, two business days or more in advance of the meeting so that the relevant expert can be invited to attend.]

3. Approval of the Open Session Minutes of October 3, and October 31, 2022

4. Helping Individuals at Risk (HIAR) and Office of Safe Disclosure and Human Rights (OSDHR) Annual Reports

ACTION ITEMS

5. Proposed Changes to Membership Restrictions for Academic Staff on University Appeal Boards 2:15 - 2:30 p.m.
   Laura Riley
   Heather Richholt

   Motion: To Approve with Delegated Authority

DISCUSSION ITEMS

6. Parchments for Online and Continuing Education Programs 2:30 - 2:40 p.m.
   Norma Rodenburg

7. College Model Review 2:40 – 3:10 p.m.
   Verna Yiu

8. Definition of Full-time Academic Staff, General Faculties Council and Faculty Council Composition 3:10 - 3:30 p.m.
   Kate Peters
   Heather Richholt

9. Proposed Changes to GFC Executive Terms of Reference 3:30 - 3:45 p.m.
   Jerine Pegg
   Kate Peters

10. Question Period 3:45 – 4:00 p.m.
    Bill Flanagan
INFORMATION REPORTS

11. Information Items Forwarded to Committee Members Between Meetings
    - For Review Revised meeting materials and Documentation for discussion
    - Time Sensitive GFC on November 14
    - Action Requested eVote on November 14
    - Results of the eVote - GFC Executive Committee approval of the agenda

CLOSING SESSION

12. Adjournment
    - Next Meeting of Exec: January 16, 2023
    - Next Meeting of GFC: January 30, 2023

Presenter(s):
Bill Flanagan  President and Vice-Chancellor, Chair of GFC Executive Committee
Laura Riley  Appeals and Compliance Coordinator
Heather Richholt  Associate Secretary to General Faculties Council
Jerine Pegg  Chair of Executive’s Subcommittee on Governance and Procedural Oversight
Kate Peters  GFC Secretary and Manager, GFC Services
Verna Yiu  Interim Provost and Vice-President (Academic)
Norma Rodenburg  Acting Vice-Provost and University Registrar

Documentation was before members unless otherwise noted.

Meeting REGRETS to: Heather Richholt, 780-492-1937, richholt@ualberta.ca
Prepared by: Kate Peters, GFC Secretary
University Governance  www.governance.ualberta.ca
GENERAL FACULTIES COUNCIL
EXECUTIVE COMMITTEE
DRAFT OPEN SESSION MINUTES

Monday, October 03, 2022
South Academic Building (SAB) 2-31
2:00 PM - 3:45 PM

ATTENDEES:
Bill Flanagan
Bishoi Aziz
Jelena Holovati
Shanthi Johnson
Gurleen Kaur
Christopher Lupke
Jerine Pegg

Spencer Proctor
Tracy Raivio
Norma Rodenburg
Dan Romanyk
Chanpreet Singh
Verna Yiu
Nese Yuksel

non-voting:
Kate Peters

REGRETS:
Brad Hamdon

Staff:
Heather Richholt, Scribe

OPENING SESSION

Before calling the meeting to order the Chair made the following acknowledgement:

Last week the University closed to honour residential school survivors and the children who did not come home. A residential school memorial was set up in Quad and is a sad reminder of the continued legacy of residential schools. It is particularly important to note these things as we acknowledge that the University of Alberta resides on Treaty 6 territory and the homeland of the Métis. I hope you were all able to find ways to honour the National Day for Truth and Reconciliation on Friday as we continue our work to respond to the Commission’s findings and the Calls to Action.

1. Approval of the Agenda

Materials before members are contained in the official meeting file.

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of GFC Executive Committee (Exec)

Motion: The motion was moved and seconded

THAT GFC Executive Committee approve the agenda.

CARRIED

2. Comments from the Chair (no documents)

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
In his comments the Chair made note of the release of the One University Operating Model, the launch of the university-wide planning process for the University Strategic Plan, and the College Model Review that would begin shortly and be reported to GFC.
CONSENT AGENDA

3. Approval of the Open Session Minutes of September 12, 2022

Materials before members are contained in the official meeting file.

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Motion: The consent agenda was moved and seconded

THAT GFC Executive Committee approve the open session minutes of September 12, 2022. CARRIED

ACTION ITEMS

4. Election of a Vice-Chair (no documents)

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
The Chair noted that Jerine Pegg had agreed to serve in the role of Vice-Chair and hearing no additional nominations she was acclaimed into the role. The Chair thanked J Pegg for agreeing to serve as Vice-Chair and to also serve as the Chair of the Executive's Subcommittee on Governance and Procedural Oversight.

5. Aboriginal to Indigenous Wording Change in the University Calendar

Materials before members are contained in the official meeting file.

Presenter(s): Norma Rodenburg, Acting Vice-Provost and Registrar; Florence Glanfield, Vice-Provost (Indigenous Programming & Research)

Discussion:
N Rodenburg and F Glanfield spoke about the proposed change from the term "Aboriginal" to "Indigenous" in the University Calendar acknowledging that words have power and preferred terms were subject to change along with learnings and understandings. Members were informed that the term "Aboriginal" was still in use for legal reasons in some instances such as reference to legal documents including the Constitution. It was also noted that the Faculty of Education's Calendar sections were not included in this proposal as they were working on their own changes which would be coming forward for approval soon. Members asked about combined degrees with the Faculty of Education and other Faculties and how those would be addressed.

Motion: The motion was moved and seconded.

THAT the GFC Executive Committee approve, with delegated authority from General Faculties Council the proposed revisions to the University Calendar, as set forth in the attached documents, to replace the term “Aboriginal” with the term “Indigenous” with exceptions as described in Attachment 1 for implementation in the 2023-2024 University Calendar. CARRIED
Materials before members are contained in the official meeting file.

Presenter(s): Carolyn Sale, GFC Elected Academic Staff Member

Discussion:
The Chair noted that items 6, 7, 8, and 9 had been proposed by an elected member of GFC and also fell under GFC Executive's mandate to recommend to GFC regarding terms of reference, composition, and procedures for GFC and its standing committees as set out in section 4.6(b) of the committee's terms of reference. He further explained that three of the items were coming forward as a result of notices of motion made at the previous meeting of GFC under 8.7 of the Meeting Procedural Rules and that one had been submitted to the GFC Secretary for Executive's consideration.

C Sale explained that she had worked with the GFC Secretary to revise her motion. She spoke to the importance of facilities to the Academy and asserted that GFC should have the oversight of these matters.

Members asked about consultation and were informed that the Chair of the GFC Facilities Development Committee (FDC) and the Vice-President (Facilities and Operations) had been consulted and were not opposed to the motion. Members discussed how often proposals of this sort came forward and how much work this would mean for GFC and heard that there were very few decisions that needed to be made at present or over the past several years. Members discussed the motion to disband FDC that was tabled at GFC in the spring and whether that proposal would come forward again. A member suggested that the original motion was preferable. A member noted that FDC should still have a role to play with proposals of this sort but that it was reasonable for the decision making authority to be held by GFC.

Motion: The motion was moved and seconded.

THAT the GFC Executive Committee recommend that the General Faculties Council approve the rescission of the sub-delegation of authority to the GFC Facilities Development Committee (FDC) as set out in the Terms of Reference for GFC FDC section 4.2 and correct the corresponding section of the GFC Terms of Reference section 4.3 to take effect upon approval.

CARRIED

7. Notice of Motion: Policy requiring that proposals to the Board of Governors be brought to General Faculties Council

Materials before members are contained in the official meeting file.

Presenter(s): Carolyn Sale, GFC Elected Academic Staff Member

Discussion:
The Chair pointed to the preamble of the motion which argued that GFC had the authority, under section 26(1)(o) of the Post-Secondary Learning Act (PSLA), to require the President or Provost to take steps so that GFC can be given the opportunity to recommend on any policy matter the Board is going to decide on. He explained that this was not correct because only the Board had the authority to direct senior administration and GFC had no power to compel the Board. He further noted that GFC did have the authority to make recommendations to the Board but this motion was outside of GFC’s jurisdiction. He explained that because of this he would rule the motion out of order at GFC but that his ruling would be subject to challenge. He further explained that if his ruling was successfully challenged by GFC and they passed the motion, it would not be enforceable.
C Sale noted her disagreement with the Chair’s interpretation and spoke about the importance of collegial governance. She noted that GFC could not exercise its statutory authority to recommend to the Board if it was not given the information and opportunity it needed to inform those recommendations. She further noted that there was nothing in this motion to compel the Board and that it did not suggest that the Board could not make decisions without the input of GFC, it was simply meant to ensure that GFC had the time and opportunity to make recommendations on any policies that were brought to the Board by the chief academic officers of the university.

Members discussed whether there were any instances when a policy went to the Board without going to GFC that should have gone to GFC. Members acknowledged that GFC was often asked to recommend on matters which then moved on to the Board for approval. A member noted the value of transparency and collegiality but did not agree that this motion was valid. A member observed that the motion was overbroad with respect to the language in the PSLA but that it would be good practice to bring such items to GFC.

Senior Legal Counsel, Jax Oltean noted that the motion was beyond GFC’s authority. She pointed to section 19 of the PSLA which outlined the duty of the Board to consider recommendations of GFC on specific matters and explained that the different language in section 26 means that there is not the same duty for the Board to consider any recommendations outside of those outlined in section 19.

A member asked whether the motion could be amended to make it a recommendation which would be within GFC’s authority. A member noted that they understood the concerns about process and collegiality but did not think the motion was within the authority set out in the PSLA.

Motion: The motion was moved and seconded.

| THAT The GFC Executive Committee recommend that the General Faculties Council approve that the President shall provide the General Faculties Council with notice of all policies that the President or the Provost intends to take to the Board of Governors for its consideration so that the General Faculties Council will have both the opportunity and sufficient time to exercise its statutory right to make recommendations to the Board on any matter “considered by the general faculties council to be of interest to the university. |

DEFEATED

8. Notice of Motion: Request that the Board pause implementation of the College Dean Selection Procedure Materials before members are contained in the official meeting file.

Presenter(s): Carolyn Sale, GFC Elected Academic Staff Member

Discussion:

C Sale spoke to her motion asserting that neither the Board nor the President should bypass GFC but should instead seek advice from GFC. She noted that this new procedure could be considered at the next meeting of GFC and that would not be much of a delay in the search process. She further noted that GFC should have been given the opportunity to review the procedure within the timeline of its development and it was not their concern that there were time pressures now.

The Chair noted that it was the jurisdiction of the Board to appoint senior leaders and that while GFC was free to make this or any recommendation to the Board, he would not support it.

A member questioned whether this item should be considered by the Executive Committee. The GFC Secretary noted that this was being considered by Exec because of their authority related to governance and procedural oversight.
Members discussed the University of Alberta Policies and Procedures Online (UAPPOL) procedure in question, whether GFC should have been given the opportunity to review it before it was approved by the Board, and the thorough consultation that revisions to UAPPOL selection procedures for senior leaders had undergone in the past. Members were divided on the matter and discussed the similarity of the procedure with the Dean selection procedure, whether the timing issue was a valid reason for the matter not to have come to GFC, and whether forcing this issue was sending an important message or just a “make work project” for those involved.

Motion: The motion was moved and seconded.

THAT the GFC Executive Committee recommend that the General Faculties Council requests that the Board of Governors not act upon or continue to act upon this “Procedure” until such time as the General Faculties Council has had the opportunity to consider and make a recommendation to the Board on the “Procedure,” as its statutory right.

CARRIED

9. Motion concerning Memo to GFC members

Materials before members are contained in the official meeting file.

Presenter(s): Carolyn Sale, GFC Elected Academic Staff Member

Discussion:

The Chair spoke to his memo noting that his hope was that it would help members navigate the somewhat complex procedural rules and issues around the jurisdiction of GFC and the Board. He expressed that he stood by the information in the memo and did not intend to withdraw or amend it.

C Sale spoke to the shared and balanced authority of GFC and the Board and asserted that the memo should accurately reflect GFC’s statutory power to recommend to the Board.

Members noted that they found the memo to be helpful and pointed out that the source documents were available as well.

Motion: The motion was moved and seconded.

THAT the GFC Executive Committee recommend that the General Faculties Council approve that the President withdraw his “Memo to GFC Members” of 13 September 2022 and revise it so that it is consistent with the "Powers of general faculties council" as set out in section 26(1) of Alberta's Postsecondary Learning Act.

DEFEATED

DISCUSSION ITEMS

10. Review of the GFC Nominating Committee Terms of Reference and Procedures

Materials before members are contained in the official meeting file.

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:

J Pegg outlined the key changes including the broadening of the composition.
Members discussed the composition of GFC, that some appointed seats were filled by elections, and GFC’s nomination and election process for its standing committees. A member asked about NC’s objection to the proposed composition changes and heard about the compromise of including the objection of NC in the materials.

11. Question Period
There were no questions.

FOR PLACEMENT ON THE GFC AGENDA (ACTION ITEMS)

12. Revisions to Examination Procedures and Deferred Exam Procedures in the 2023-2024 University Calendar
Materials before members are contained in the official meeting file.

FOR PLACEMENT ON THE GFC AGENDA (DISCUSSION ITEMS)

13. Update on the College Dean’s progress and plans (no documents)
14. Online and Continuing Education (no documents)

ACTION ITEMS

15. Draft Agenda for the Next Meeting of General Faculties Council
Materials before members are contained in the official meeting file.

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
Members agreed to remove Item 9 and to approve the draft agenda subject to the GFC Committee on the Learning Environment’s approval by e-vote of item 5.

Motion: The motion was moved and seconded.

THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the October 17, 2022 meeting of General Faculties Council, as set forth in Attachment 1, as amended.

CARRIED

CLOSING SESSION

16. Adjournment
   - Next Meeting of Exec: October 31, 2022
   - Next Meeting of GFC: October 17, 2022
ATTENDEES:  
Bill Flanagan  
Bishoi Aziz  
Jelena Holovati  
Shanthi Johnson  
Gurleen Kaur  
Christopher Lupke  
Jerine Pegg  
Spencer Proctor  
Tracy Raivio  
Chanpreet Singh  
Nese Yuksel  
non-voting:  
Brad Hamdon  
Kate Peters  
REGRETS:  
Verna Yiu  
Staff:  
Heather Richholt, Scribe

OPENING SESSION

1. Approval of the Agenda

Materials before members are contained in the official meeting file.

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of GFC Executive Committee (Exec)

Discussion:
Before calling the meeting to order, the Chair acknowledged, "the University of Alberta resides on Treaty 6 territory and the homeland of the Métis".

General Counsel and University Secretary Brad Hamdon asked the committee for some time to discuss the motion that was approved by GFC on October 17th to recommend the Board of Governors pause the implementation of the College Dean Selection Procedure. He suggested the discussion could happen during question period or if the committee preferred to add an item to the agenda that could be considered. Members agreed that this discussion could occur during question period.

Motion: The motion was moved and seconded.

THAT GFC Executive Committee approve the agenda.  
CARRIED

2. Comments from the Chair (no documents)  
- Update from Chair of Exec GPO

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
In his remarks, the Chair spoke about the planning process for the University Strategic Plan which had begun under the leadership of the Provost and Vice-President (Academic), and the Honorary Degree Recipients that would be honored at fall convocation on November 22 and 23.

Jerine Pegg, Chair of Executive's Subcommittee on Governance and Procedural Oversight (GPO) provided an update on the work of the subcommittee. She noted some challenges related to consulting with GFC and GPO's plan to ask GFC members to share feedback via a google form outside of GFC meetings. She pointed out that this would allow GPO to hear from a greater number of members without taking up time at GFC meetings or risking deferral of early consultation and discussion items, which would then affect GPO's work plan and timelines. She also asked members to consider asking Faculty Councils to share their terms of reference for review related to Executive's authority over control functions of Faculty Councils as set out in the Executive Committee's terms of reference. She explained a decision that Exec had made years ago that was no longer in effect but that some Faculty Councils were continuing to follow and suggested that a review would help to better understand the authority and identify any concerns.

Members discussed: the meaning of "control functions" as it applied to Exec's authority; how a request for Faculty terms of reference would be articulated; whether the College Deans should be involved in this review; that this was an offer of helpful advice on documents that are part of the public record; and whether an FYI memo regarding the old decision should be included with the request.

**CONSENT AGENDA**

Materials before members are contained in the official meeting file.

The motion to approve the items in the Consent Agenda was moved and seconded.

3. **Approval of the Open Session Minutes of October 3, 2022**
   
   Item was deferred.

4. **Proposed Changes to Composition of the Deans Selection Committee for the Faculty of Pharmacy and Pharmaceutical Sciences**

   THAT the GFC Executive Committee approve, under delegated authority from the General Faculties Council, proposed changes to the composition of the Council of the Faculty of Pharmacy and Pharmaceutical Sciences as set forth in Attachment 1, submitted by the Faculty of Pharmacy and Pharmaceutical Sciences, to take effect upon final approval.

   CARRIED

**ACTION ITEMS**

5. **2023-2024 Academic Schedule Revision**

   Materials before members are contained in the official meeting file.

   Presenter(s): Norma Rodenburg, Acting Vice-Provost and University Registrar

   Discussion:
   N Rodenburg explained the proposed update to the schedule related to the National Day for Truth and Reconciliation.

   Members discussed the Exploration Credits deadline and an editorial matter related to the PharmD program.
The motion was moved and seconded.

**THAT the GFC Executive Committee rescind the approval of the Academic Schedule for 2023-2024.**

CARRIED

The motion was moved and seconded.

**THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the revised Academic Schedule for 2023-2024 (submitted by the Acting Vice-Provost and University Registrar and as set forth in Attachment 1) and, in doing so, empower the Registrar to make any editorial changes as needed as long as the changes do not have the force of policy, to be effective upon final approval.**

CARRIED

6. Proposed Changes to the Terms of Reference for the GFC Nominating Committee

Materials before members are contained in the official meeting file.

**Presenter(s):** Jerine Pegg, Chair of Executive’s Subcommittee on Governance and Procedural Oversight; Kate Peters, GFC Secretary and Manager, GFC Services

**Discussion:**
K Peters noted that GFC had deferred the discussion on this item three times and asked if members were comfortable recommending on it without it having been discussed at GFC. J Pegg outlined the proposed changes.

Members discussed the proposed addition of the at-Large member to the composition, the disagreement over the addition, and the challenges with filling committee seats that required GFC membership.

Motion: The motion was moved and seconded.

**THAT the GFC Executive Committee recommend that the General Faculties Council approve the proposed changes to the Terms of Reference for the GFC Nominating Committee as set forth in attachment 1, to take effect upon approval.**

CARRIED

7. Proposed Revisions to Terms of Reference – General Faculties Council

Materials before members are contained in the official meeting file.

**Presenter(s):** Andrei Tabirca, NASA Representative and GFC Member

**Discussion:**
A Tabirca presented his arguments in support of the proposal that the Non-Academic Staff Association (NASA) was an essential part of GFC and that adding the NASA President to the membership was rectifying an oversight and aligning with the membership of the Presidents of the Association of Academic Staff of the University of Alberta (AASUA), Graduate Students' Association (GSA), and University of Alberta Students' Union (UASU).

There was no discussion.

Motion: The motion was moved and seconded.
THAT the GFC Executive Committee recommend the General Faculties Council approve the proposed changes to the GFC Terms of Reference as set forth in Attachment 1, to take effect upon approval.  

CARRIED

DISCUSSION ITEMS

8. Question Period

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
GFC Secretary K Peters provided an overview of the Communicating Recommendations from General Faculties Council to the Board of Governors document. She explained that since the motion passed at the October 17 GFC met the criteria set out in the document, the guidelines should be followed, and went over Executive Committee’s role in the process.

Members discussed the protocol and agreed to nominate GFC elected academic staff member Carolyn Sale to present the motion to the Board of Governors. They agreed it was appropriate to distribute the materials Dr Sale had submitted to the Board.

FOR PLACEMENT ON THE GFC AGENDA (ACTION ITEMS)

9. Sexual and Gender-Based Violence Policy

Discussion:
There was no discussion.

FOR PLACEMENT ON THE GFC AGENDA (DISCUSSION ITEMS)

10. University Strategic Plan (no documents)

Discussion:
There was no discussion.

ACTION ITEMS

11. Draft Agenda for the Next Meeting of General Faculties Council

Presenter(s): Bill Flanagan, President and Vice-Chancellor, and Chair of Exec

Discussion:
The proposed agenda was amended to include the Sexual and Gender-based Violence Policy item.

Members discussed: the time change from 2:30 - 4:30 p.m., the timing of the agenda and issues with GFC going over the two hour mark, and that a review of the Colleges would be included on a future agenda.

Motion: The motion was moved and seconded.
THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the Agenda for the November 14, 2022 meeting of General Faculties Council, as set forth in Attachment 1, as amended.

CARRIED

CLOSING SESSION

12. Adjournment
- Next Meeting of Exec: December 5, 2022
- Next Meeting of GFC: November 14, 2022
Governance Executive Summary
Advice, Discussion, Information Item

<table>
<thead>
<tr>
<th>Agenda Title</th>
<th>Helping Individuals at Risk (HIAR) Annual Report</th>
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<tbody>
<tr>
<td>Item</td>
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<tr>
<td>Proposed by</td>
<td>Kathryn Todd, Deputy Provost (Academic)</td>
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<tr>
<td>Presenter</td>
<td>Kris Fowler, Director, HIAR</td>
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<td>Details</td>
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<tr>
<td>Office of Administrative Responsibility</td>
<td>Provost and Vice President (Academic)</td>
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<tr>
<td>The Purpose of the Proposal is (please be specific)</td>
<td>HIAR reports annually to GFC Executive and to the Board Learning, Research, and Student Experience Committee on data related to the previous years’ reports, services provided, and on priorities. Note that this report spans a two year period because of a shift in the reporting timing. There was no report provided in 2021-2022 as we moved to a fall reporting cycle.</td>
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<tr>
<td>Executive Summary (outline the specific item – and remember your audience)</td>
<td>The HIAR program provides a centralized location for reports of at risk behavior in order to facilitate a “connecting of the dots” of what could otherwise be viewed as isolated and less urgent incidents. One impetus behind the creation of this program was the key finding from the 2007 Virginia Tech shootings that failure to share information on what were considered isolated incidents resulted in an underestimation of risk. The HIAR program helps connect Individuals at Risk of harm to self or others to resources before a situation escalates, and ensures a coordinated response across campus. This report spans the period of July 1, 2020 to June 30, 2022. The attached executive summary highlights the successes and challenges of the HIAR program over the last two years, including the program’s strong reputation institutionally for high quality service and responsiveness, and the increasing number and complexity of cases, driven by the pandemic and institutional restructuring, and the commensurate impact on HIAR staff capacity through the reporting period. Please note that, effective Nov. 5, 2020, HIAR has moved from the University Services and Finance portfolio to the Portfolio of the Provost and Vice-President (Academic). Risks and Opportunities: HIAR facilitates early identification of At Risk Behaviour and creates a system designed to receive and consolidate reports of At Risk Behaviour. Consolidating reports of At Risk Behaviour will enable identification of situations in which seemingly isolated incidents are, in fact, connected so that the At Risk Behaviour can be properly assessed</td>
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Item No. 4a

| Supplementary Notes and context | <This section is for use by University Governance only to outline governance process.> |

**Engagement and Routing** (Include proposed plan)

| Consultation and Stakeholder Participation | Office of the Provost  
GFC Executive (December 5, 2022)  
Board Learning, Research, and Student Experience Committee (November 25, 2022) |

**Strategic Alignment**

| Alignment with *For the Public Good* | OBJECTIVE 19:  
Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive and accessible services and initiatives. |

<table>
<thead>
<tr>
<th>Alignment with Core Risk Area</th>
<th>Please note below the specific institutional risk(s) this proposal is addressing.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Enrolment Management</td>
<td>☐ Relationship with Stakeholders</td>
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<td>□ Faculty and Staff</td>
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<td>☐ IT Services, Software and Hardware</td>
<td>x Safety</td>
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<td>☐ Leadership and Change</td>
<td>x Student Success</td>
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<td>☐ Physical Infrastructure</td>
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**Legislative Compliance and jurisdiction**

| GFC Executive Terms of Reference  
BLRSEC Terms of Reference Section 2o |

**Attachments:**

1. Helping Individuals at Risk 2020-2021 Annual Report (11 pages)

*Prepared by:* Kathleen Brough, Chief of Staff, Office of the Provost and Vice-President (Academic)
The HIAR program was created in 2010 to provide a centralized location for reports of at risk behavior in order to facilitate a “connecting of the dots” of what could otherwise be viewed as isolated and less urgent incidents. One impetus behind the creation of this program was the key finding from the 2007 Virginia Tech shootings that failure to share information on what were considered isolated incidents resulted in an underestimation of risk. The HIAR program helps connect Individuals at Risk of harm to self or others to resources before a situation escalates, and ensures a coordinated response across campus.

**Executive Summary**

1. There have been many successes in the HIAR program over the past two years.
   a. The program was able to easily transition to working from home during the COVID-19 pandemic due to the majority of reports to the program being sent via email.
   b. The program completed the move to Li Ka Shing after moving out of leased space to support cost savings for the university.
   c. The Symplicity Advocate database was fully implemented leading to a more efficient intake process and robust annual reporting.
   d. HIAR collaborated with key stakeholders on several activities including developing protocols for virtually supporting high risk students and students studying abroad, supporting the new Sexual Violence Response Coordinator position, and assisting with the mandatory workplace violence training.

2. After an initial drop off in reporting March through May 2020 due to the pandemic, reports to the program continued at their usual high levels. In 2020-21, the program received 830 reports, and in 2021-22 the program received 889 reports; a 7% increase in reports across the two years. As per previous years, the great majority of reports to HIAR (90% in 2020-21 and 91% in 2022) were about students, particularly undergraduate students. Twenty-six percent of the reports about students in 2020-21, and 31%, in 2021-22 were about international students. For context, international students comprised 19% of the student population in 2021-22.

3. The most common report type was a behavioural concern that had not yet met the assessment of harm (53% of reports in 2020-21 and 42% in 2021-22), with the second most common being harm to self (33% in 2020-21 and 40% in 2021-22).

4. The top three administrative units reporting to the program continued to be Residence Services, Dean of Students Administration and UofA Protective Services, while the top three Faculties reporting to the program continued to be Arts, Science and Engineering.

5. During the 2020-21 reporting year, HIAR staff provided a total of 2,829 services, or an average of 4.3 services per report. In 2021-22, HIAR staff provided 2,937 services, or an average of 3.9 services per report. The most common services provided were connecting individuals at risk to support, monitoring and follow up, providing updates, and coaching and recommendations. HIAR staff referred 32% of reports to the HIAR Case Team in 2020-21, and 37% in 2021-22. Cases were most often referred because HIAR had received more than one report about more than one incident for the individual at risk.
6. The HIAR program continues to have an excellent reputation on campus, and has received many positive comments and gratitude from individuals at risk, and those reporting to the program. A sample of these comments are included in the report.

7. The past few years have been challenging for the HIAR program on both a global (pandemic) and local (layoffs and restructuring) level. Restructuring included moving the HIAR program into the portfolio of the Office of the Provost in November 2020, and the Director of HIAR was tasked with managing the Office of Safe Disclosure and Human Rights (OSDHR), in addition to the HIAR program. This reduced the capacity of the program from 3.0 FTE to 2.5 FTE, as the Director’s time shifted to supporting both programs with less time available for the intake and management of reports. In addition, the HIAR program lost administrative support for the Symplicity Advocate database, which added to the Director’s responsibilities, further reducing capacity of the program.

8. The restructuring, layoffs, and the COVID-19 pandemic significantly impacted HIAR staff workload in the following ways:
   a. An increased number of individuals at risk (students, staff and faculty)
   b. An increase in the complexity and severity of cases reported to HIAR
   c. Reduced capacity across the institution to support individuals at risk
   d. Large influx of new staff relying on HIAR staff for consultation, advice and guidance
   e. A need to relearn ongoing changes to the structure of the institution in order to manage cases

9. As a result, HIAR staff have found it difficult to keep up with the intake and management of reports, especially during peak periods, or when staff are away due to vacation or illness. Current resourcing of the HIAR program is not sustainable, and a budget request was submitted for an additional HIAR Coordinator. If unsuccessful, a priority will be the development of mitigation strategies to cope with the ever increasing volume of cases.

**Changes to data collection**

It is important to note that as of July 1, 2020, HIAR started using a new case management software, Symplicity Advocate, which significantly changed the way data was collected for the annual report from previous years, making it difficult to compare data pre- and post- Symplicity. One key change was that in Symplicity, a single report can have more than one individual at risk, whereas previously, there was only one individual at risk per report. For example, a report about harm to others often has two individuals at risk; the person who has caused harm (report type harm to others), and the harmed party (report type harm from others). Using the previous system of data collection, this would count as two reports, whereas in Symplicity, this would count as one report. For this reason, the annual report will not compare the current two years of data (2020-21 and 2021-22) to previous year’s data, and will instead reference historical trends when relevant.

**Reports to HIAR**

The HIAR program received **830** reports in 2020-21, and **889** reports in 2021-22, a **7% increase** in the number of reports over the two years. Historically, the HIAR program has had an increase in reports each year since its inception in 2010, other than the 2019-20 year when there was a significant decrease in reports March through May 2020 due to the COVID-19 pandemic.

**Report Type**

The majority of reports received by HIAR in both 2020-21 (445 reports, 53%) and 2021-22 (375 reports, 42%) were regarding individuals who exhibited a behavioural concern, those who displayed worrisome behaviour that did not yet meet the threshold of harm to self or harm to others. The larger number of reports about a behavioural concern in 2020-21 compared to 2021-22 was likely due to a change in the way HIAR staff were coding report types between the
two years. The second most common report type made to HIAR was about harm to self (275 reports, 33% vs 362 reports, 40%), which is consistent with previous years data.

2020-21 Report Type Breakdown

![2020-21 Report Type Breakdown Chart]

2021-22 Report Type Breakdown

![2021-22 Report Type Breakdown Chart]

**INDIVIDUALS AT RISK**

As reports to HIAR can have more than one individual at risk, and individuals at risk can be reported more than once in a reporting year, different data was required to break down the number of individuals at risk versus the status and gender of individuals at risk.

**Number of Individuals at Risk**

Interestingly, although the total number of reports over the two years only increased by 7%, the number of individuals at risk increased by 30% (522 in 2020-21 and 678 in 2021-22) over the same time period. This would seemingly indicate that individuals at risk were more often reported once, rather than multiple times, in the 2021-22 year.

Historically, the greatest number of reports to HIAR have been about students, and that did not change in 2020-21 (835, 90%) or 2021-22 (950, 91%). Reports about employees were made in 90 reports (10%) in 2020-21 and 97 reports (9%) in 2021-22.

> “Thank you so much for your email and for being so incredibly kind to me these past few weeks. Talking with you through email has been a lifeline these past few weeks so, I can’t thank you enough.”

~Individual at Risk
Students at Risk

As per previous years, the great majority of reports to HIAR in 2020-21 (692, 75%) and in 2021-2022 (837, 80%) were about undergraduate students at risk. Graduate students at risk comprised 15% (143) of the reports to HIAR in 2020-21 and 11% (113) in 2021-22.

International Students at Risk

As requested by the Board of Governors in previous years, HIAR tracks reports received about international students (undergraduate and graduate status combined). There were 213 reports, or 26% of the reports about students, concerning international students in 2020-21, and 299 reports, or 31%, in 2021-22. For context, international students comprised 19% of the student population in 2021-22. Historically, HIAR has received a higher than expected percentage of reports about international students at risk compared to their percent of the general student population, likely due to the increased pressures international students face when studying in a new culture away from family and friends. During the pandemic (including the 2020-21 reporting year), international students faced additional challenges such as online courses being offered at night due to time zone differences, internet instability, and difficulty accessing academic or mental health support. International students are likely still recovering from the impacts of the pandemic on their academics and well-being, which may account for the high percentage of international students at risk in 2021-22.

"I finally received the notification from FGSR that all the documents are prepared and submitted for my graduation. It is really a longer journey. It will be impossible for me if there were not you. Otherwise, I would give up in April and even worse. ~International Graduate Student at Risk

Employees (faculty and staff) at Risk

Faculty members/instructors (Faculty, Academic Teach Staff and Trust Research Academic) were most frequently reported to the HIAR program in both 2020-21 (36, 4%) and 2021-22 (49, 5%), followed by NASA employees (Operating and Trust); 26, 3% in 2020-21 and 27, 3% in 2021-22.
Method of Reporting

In 2020-21 (590 reports, 83%) and 2021-22 (705 reports, 79%), the great majority of reports to HIAR were made via email. This allowed for the HIAR program to easily transition to working from home during the pandemic. In addition, when reports are received in writing, staff can more easily triage reports made to program.

Department/Administrative Units of Reporters

Historically, the top three reporters to the HIAR program have been the Dean of Students (DoS) Administration, Residence Services, and UofA Protective Services (UAPS), and that did not change for 2020-21 or 2021-22. In 2020-21, the DoS made 188 reports (25%) to HIAR, UAPS made 105 reports (14%) and Residence Services (including Augustana Residences) made 70 reports (9%). In 2021-22, Residence Services (including Augustana Residences) made 158 reports (19%) to HIAR, the DoS made 148 reports (18%), and UAPS made 112 reports (13%). There was a significant drop in
reports from Residence Services in the 2020-21 year compared to the 2021-22 year and to previous years, likely due to residences not being at full capacity for most of that year due to the pandemic.

2020-21 Summary of Reporter’s Department (Top 15)

2021-22 Summary of Reporter’s Department (Top 15)
Faculties of Reporters

As in previous years, the top three academic Faculties to report to the HIAR program were from the three largest Faculties on campus; the Faculty of Arts, Science and Engineering. In 2020-21, the Faculty of Arts and Science both made 80 reports to HIAR (11%), and the Faculty of Engineering made 31 reports (4%). In 2021-22, the Faculty of Arts made 81 reports to HIAR (10%), the Faculty of Science made 56 reports (7%), and the Faculty of Engineering made 31 reports (4%). Reports continue to be made from across the university, despite HIAR staff having limited capacity to engage in education and awareness.

2020-21 Summary of Reporter’s from Academic Faculties

<table>
<thead>
<tr>
<th>Faculty of Reporter</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty of Arts</td>
<td>80</td>
</tr>
<tr>
<td>Science</td>
<td>80</td>
</tr>
<tr>
<td>Faculty of Engineering</td>
<td>31</td>
</tr>
<tr>
<td>Kinesiology Sport &amp; ....</td>
<td>15</td>
</tr>
<tr>
<td>Medicine &amp; Dentistry</td>
<td>11</td>
</tr>
<tr>
<td>Ag, Life and Environ...</td>
<td>8</td>
</tr>
<tr>
<td>Faculty of Education</td>
<td>8</td>
</tr>
<tr>
<td>Nursing</td>
<td>8</td>
</tr>
<tr>
<td>School of Business</td>
<td>7</td>
</tr>
<tr>
<td>Pharmacy &amp; Pharmaceut...</td>
<td>5</td>
</tr>
<tr>
<td>Faculty of Law</td>
<td>3</td>
</tr>
<tr>
<td>Augustana</td>
<td>2</td>
</tr>
<tr>
<td>Rehabilitation Medic...</td>
<td>2</td>
</tr>
<tr>
<td>School of Public Health...</td>
<td>1</td>
</tr>
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</table>

2021-22 Summary of Reporter’s from Academic Faculties

<table>
<thead>
<tr>
<th>Reporter’s Faculty</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty of Arts</td>
<td>81</td>
</tr>
<tr>
<td>Science</td>
<td>50</td>
</tr>
<tr>
<td>Faculty of Engineering</td>
<td>31</td>
</tr>
<tr>
<td>Ag, Life and Environ...</td>
<td>26</td>
</tr>
<tr>
<td>Medicine &amp; Dentistry</td>
<td>17</td>
</tr>
<tr>
<td>School of Business</td>
<td>14</td>
</tr>
<tr>
<td>Nursing</td>
<td>10</td>
</tr>
<tr>
<td>Faculty of Education</td>
<td>6</td>
</tr>
<tr>
<td>Rehabilitation Medic...</td>
<td>6</td>
</tr>
<tr>
<td>Augustana</td>
<td>5</td>
</tr>
<tr>
<td>Faculty of Law</td>
<td>4</td>
</tr>
<tr>
<td>Kinesiology Sport &amp; ....</td>
<td>3</td>
</tr>
<tr>
<td>Pharmacy &amp; Pharmaceut...</td>
<td>3</td>
</tr>
<tr>
<td>Saint-Jean</td>
<td>2</td>
</tr>
</tbody>
</table>
It is important to note that with every report that HIAR receives regarding an individual at risk, the intake process includes documenting the concerns, using triage tools to assess the level of risk, determining if HIAR has received any previous reports and if that history affects the level of risk, considering if the case needs to be escalated to the police, UAPS, Protocol 91/Student of Concern or the HIAR Case Team, checking social media for further warning signs (in high risk cases) and checking to see if UAPS has any relevant reports. For reports about students at risk, the intake process also includes assessing any academic concerns and determining if the student is an international student, lives in residence and/or is connected to Accessibility Resources.

The services provided below are in addition to the intake process; typically more than one service is provided. The only type of report that requires no additional action from a HIAR team member is the “Information Purposes Only” report; one that is being managed already, or is the second (or more) report about the same incident.

During the 2020-21 reporting year, in 80% (661) of reports, HIAR staff provided at least one service, for a total of 2,829 services, or an average of 4.3 services per report. During the 2021-22 year, in 85% (756) of reports, HIAR staff provided at least one service, for a total of 2,937 services, or an average of 3.9 services per report. The number of services per report likely decreased from the 2020-21 year due to HIAR staff having to provide services beyond their scope during the pandemic (2020-21 reporting year) to ensure individuals at risk were safe. An example of this can be seen in the difference between the two reporting years for the category of “Connect to Support”.

### 2020-21 Summary of Services Provided

<table>
<thead>
<tr>
<th>Action Type</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Connect to Support</td>
<td>776</td>
</tr>
<tr>
<td>Monitoring/Follow Up</td>
<td>711</td>
</tr>
<tr>
<td>Provide Updates</td>
<td>307</td>
</tr>
<tr>
<td>Refer to HIAR Case Team</td>
<td>265</td>
</tr>
<tr>
<td>Information Purposes...</td>
<td>169</td>
</tr>
<tr>
<td>Gather Relevant Info...</td>
<td>164</td>
</tr>
<tr>
<td>Attend SOC / Pre-Pho...</td>
<td>90</td>
</tr>
<tr>
<td>Information Sharing</td>
<td>87</td>
</tr>
<tr>
<td>Assess Academic Situ...</td>
<td>81</td>
</tr>
<tr>
<td>Re-Assess Risk</td>
<td>56</td>
</tr>
<tr>
<td>Other HIAR Action</td>
<td>54</td>
</tr>
<tr>
<td>Refer to Student of...</td>
<td>20</td>
</tr>
<tr>
<td>Discuss Safety Measu...</td>
<td>11</td>
</tr>
<tr>
<td>Attend Pre-Protocol ...</td>
<td>10</td>
</tr>
<tr>
<td>Refer to Police (arc...)</td>
<td>9</td>
</tr>
<tr>
<td>Attend Meeting</td>
<td>8</td>
</tr>
<tr>
<td>Provide Coaching and...</td>
<td>6</td>
</tr>
<tr>
<td>Refer to Pre-Protocol...</td>
<td>3</td>
</tr>
<tr>
<td>Refer to UAPS (arch...)</td>
<td>2</td>
</tr>
</tbody>
</table>

### 2021-22 Summary of Services Provided
“Knowing that HIAR exists means that I don’t have to take work stress home with me. If I meet with a student and feel any kind of concern, I know that HIAR is only a phone call away! Whether or not the concern turns out to be valid, the HIAR staff talk me through resources that I can offer to students, questions to ask to better assess risk, and reassurance that I’ve done the right thing in calling. I appreciate that HIAR always follows up with me after I’ve made a call to see how the situation turned out. It’s just a great safety net, knowing that I don’t have to deal with distressing situations on my own.”

~Service provider

HIAR CASE TEAM

The mandate of the HIAR Case Team is to triage the risk of an Individuals at Risk’s behavior and develop an action plan to manage the risk. The Case Team is multi-disciplinary and meets on a weekly basis. HIAR staff refer cases to the HIAR Case Team when an individual is at risk of harm to others, and/or when a report is about a second (or more) incident about an individual at risk who has previously been brought to the attention of the HIAR program. Individuals at risk may be referred to the Case Team several times in a year if the program receives multiple reports about them.

In 2020-21, 265 cases (32%) were referred to the HIAR Case Team, while in 2021-22, 327 cases (37%) were referred to the Case Team. In 2021-22, the great majority (265 reports, 79%) were referred because HIAR had received more than one report about more than one incident for the individual at risk.
2020-21 Program Activities (internal and with key stakeholders)

1. HIAR Program
   a. Completed move to Li Ka Shing (move out of leased space to support cost savings for the university)
   b. Improved function of Symplicity Advocate database
   c. Demo of database to Early Alert System (EAS) team (Augstana)
   d. Education and Awareness Presentations
   e. Letter of support for FGSR supervisor initiative

2. Office of the Provost and Vice-President (Academic)
   a. EDI Scoping Group Committee and EDI strategic plan
   b. Sexual Violence Coordinator job description
   c. Addressing and Responding to Sexual Violence
   d. Service catalogue (website)

3. Office of Safe Disclosure and Human Rights (OSDHR)
   a. Systemic Issues group
   b. Disclosure of Concern meetings

4. Dean of Students (DoS) Administration
   a. HIAR/DOS visual tool
   b. Helping Students in Distress who are Abroad
   c. Sexual violence Risk Assessment (Courage to Act)
   d. HIAR Policy Suicide Prevention review
   e. High Risk Students Protocol discussion

5. Human Resources, Health, Safety and Environment (HRHSE)
   a. Toolkit for leaders (for working from home)
   b. Domestic and sexual violence web pages
   c. Confidential file checks
   d. Discrimination, Harassment and Duty to Accommodate policy

2021-22 Program Activities (internal and with key stakeholders)

1. HIAR Program
   a. Consultation/Feedback with the City of Edmonton Safe Disclosure Office (violence risk triage process),
      Student Recovery Community Initiative (for students with addictions/substance abuse), Internal Audit
      Sexual Violence audit and the Student Accessibility Assessment Project
   b. Service Excellence Training Program
   c. Education and Awareness Presentations

2. Office of the Provost and Vice-President (Academic)
   a. EDI Scoping Group (quarterly meetings)
   b. Redesign meeting with Nous Group
   c. Sexual & Gender-Based Violence (SGBV) Advisory Council Meeting

3. Office of Safe Disclosure and Human Rights (OSDHR)
   a. Systemic Issues Group
   b. Disclosure Protocol meetings

4. Dean of Students (DoS) Administration
   a. Accommodation process development
   b. Student Care Coordinator consultation

5. Human Resources, Health, Safety and Environment (HRHSE)
   a. Workplace Sexual Violence Education (e-course)
   b. Workplace Violence and Harassment mandatory training
c. Confidential file checks
d. AVP HRHSE quarterly meetings
e. Meet and greet with new Directors in HRHSE

PRIORITIES FOR 2022-23

1. Increase capacity of office

Based on the program’s current limited capacity, a budget request was submitted for an additional HIAR Coordinator (1.0 FTE). If unsuccessful, a priority will be the development of mitigation strategies to cope with the ever increasing volume of cases. The risks of continuing with the status quo include:

- Increased response times to reports to the program could lead to decreased trust, increased frustration, and a reduction in reports resulting in an inability to “connect the dots” between isolated or less urgent situations, and in an underestimation of risk
- Slower response time, or a lack of capacity to appropriately intervene with an individual at risk could lead to harm, violence, or death
- Reduced reporting to the program could result in situations escalating that could otherwise have been mitigated early on
- If individuals do not trust that they can make a report to HIAR, or question whether they will receive a timely response, they may instead inappropriately share personal information about an individual at risk amongst themselves, rather than reporting to a trusted centralized location
- Inability to retain current staff due to workload (increased finances and time spent on hiring, onboarding and training new staff)
- Remaining non-compliant with fulfilling the education mandate of the HIAR policy

2. Continue providing core services (intake and management of reports) in an effective and efficient manner

Continuing to prioritize the intake and management of reports to the program is critical to ensuring people keep reporting to the program as per the HIAR policy, in order to prevent an underestimation of risk.

“I am glad to know that we have resources such as HIAR for situations like this, as I felt really helpless, I did not know where to go.” ~Instructor

“Thank you for absolutely everything and for giving me a safe and comfortable space to ask for help. I am beyond grateful for the help.” ~Individual at Risk
## Item No. 4b

### Governance Executive Summary
Advice, Discussion, Information Item

<table>
<thead>
<tr>
<th>Agenda Title</th>
<th>Office of Safe Disclosure and Human Rights (OSDHR) Annual Report</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Item</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposed by</td>
<td>Kathryn Todd, Deputy Provost (Academic)</td>
</tr>
<tr>
<td>Presenter</td>
<td>Donnell Willis, Advisor, Office of Safe Disclosure and Human Rights</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Office of Administrative Responsibility</td>
<td>Provost and Vice-President (Academic)</td>
</tr>
<tr>
<td>The Purpose of the Proposal is (please be specific)</td>
<td>The Office of Safe Disclosure and Human Rights (OSDHR) reports annually to General Faculties Council Executive and the Board Audit and Risk Committee on activity and areas of focus. This reporting is a requirement under the University’s Discrimination and Harassment Prevention Procedure. Note that this report spans a two year period because of a shift in the reporting timing. There was no report provided in 2020-2021 as we moved to a fall reporting cycle.</td>
</tr>
</tbody>
</table>
| Executive Summary (outline the specific item – and remember your audience) | OSDHR provides a safe, neutral and confidential space to hear about disclosures of discrimination, harassment (including bullying), accommodations, safety violations, research misconduct, ethical concerns, financial mismanagement, or any other possible misconduct or wrongdoing. The role of OSDHR is to understand the nature of the concerns and to provide appropriate advice and referrals. It is up to the individual disclosing to decide how they wish to proceed or whether they wish to initiate any formal processes. OSDHR is unique in that it provides services to all members of the university community (students, faculty, staff, postdoctoral fellows, visitors, volunteers, etc.). OSDHR also works to promote and steward human rights, equity, diversity, and inclusion at the University of Alberta, through workshops and presentations to ensure that human rights and the associated principles are integrated into daily campus life. Disclosures to OSDHR increased by 11% from 2020-2021 to 2021-2022, and the office also experienced an increase in demand for educational training opportunities. This increase in demand was due to many factors including:  
  - factors related to the impact of the pandemic on the institution  
  - the impact of restructuring on members of the community  
  - increasing institutional awareness in anti-racism initiatives  
  The attached executive summary highlights other the successes and challenges of the OSDHR over the last two years, including improvements in reporting and tracking opportunities provided through its new database. |
This report spans the period of July 1, 2020 to June 30, 2022.

Please note that, effective November 5, 2020, the OSDHR has moved from the University Services and Finance portfolio to the Portfolio of the Provost and Vice-President (Academic).

**Risks and Opportunities**
The University has a responsibility and a legal duty to maintain an environment free from discrimination and harassment, under the Occupational Health and Safety legislation and our own institutional policy. A confidential service where members of the community can report incidents of discrimination and harassment so that affected individuals can receive support and issues can be remedied is a critical tool to meeting those responsibilities.

Training opportunities provided through OSHDR (and other offices), including the recent mandatory workplace violence training, provide a valuable opportunity to preventing incidents before they occur. Increasing demand for OSDHR services is placing pressure on the capacity of OSDHR staff.

**Supplementary Notes / context**

**Engagement and Routing** (Include proposed plan)

<table>
<thead>
<tr>
<th>Consultation and Stakeholder Participation</th>
<th>Office of the Provost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>GFC Executive (December 5, 2022)</td>
</tr>
<tr>
<td></td>
<td>Board Audit and Risk Committee (November 28, 2022)</td>
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</table>

**Strategic Alignment**

<table>
<thead>
<tr>
<th>Alignment with For the Public Good</th>
<th>OBJECTIVE 19: Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive and accessible services and initiatives.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alignment with Core Risk Area</td>
<td>Please note below the specific institutional risk(s) this proposal is addressing.</td>
</tr>
<tr>
<td>□ Enrolment Management</td>
<td>□ Relationship with Stakeholders</td>
</tr>
<tr>
<td>x Faculty and Staff</td>
<td>□ Reputation</td>
</tr>
<tr>
<td>□ Funding and Resource Management</td>
<td>□ Research Enterprise</td>
</tr>
<tr>
<td>□ IT Services, Software and Hardware</td>
<td>x Safety</td>
</tr>
<tr>
<td>□ Leadership and Change</td>
<td>x Student Success</td>
</tr>
<tr>
<td>□ Physical Infrastructure</td>
<td></td>
</tr>
</tbody>
</table>

**Legislative Compliance and Jurisdiction**

<table>
<thead>
<tr>
<th>General Faculties Council Exec Terms of Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Audit and Risk Committee Terms of Reference – Section 2(y)</td>
</tr>
</tbody>
</table>

**Attachment:**


*Prepared by:* Kathleen Brough, Chief of Staff, Office of the Provost and Vice-President (Academic)
Office of Safe Disclosure and Human Rights (OSDHR)

Annual Report for 2020-2021 & 2021-2022

Prepared by: Donnell Willis, Advisor, OSDHR & Sagal Yusuf, Education Coordinator and Intake Worker, OSDHR

Contact Information

Email: osdhr@ualberta.ca
Phone: 780-492-7357
Website: www.uab.ca/osdhr
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Executive Summary

The Office of Safe Disclosure and Human Rights (OSDHR) experienced considerable change and momentum in both the reporting year of July 1, 2020 – June 30, 2021 and July 1, 2021 – June 30, 2022.

Overall, in 2021-2022 OSDHR experienced an increase of disclosures by 11% compared to the previous year (2020-2021).

<table>
<thead>
<tr>
<th>YEAR</th>
<th>Number of Disclosures Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-21</td>
<td>185</td>
</tr>
<tr>
<td>2021-22</td>
<td>208</td>
</tr>
</tbody>
</table>

OSDHR is able to robustly report on the number and types of disclosures it receives due to the launch of its new database (Symplicity Advocate GME Case Management Software) in July 2020. During the last two years, OSDHR has also standardized its internal processes and improved the office’s record management. Additionally, OSDHR’s website and online disclosure tool was updated in summer 2021. The website provides quicker and clearer access to OSDHR’s services and the role of the office.

In November 2020, due to university-wide restructuring, OSDHR moved from the department of Disclosure, Assurance, and Institutional Research (DAIR) to the Office of the Provost and Vice-President Academic. Additionally, in May 2020 the office’s physical location was relocated from a shared office in Campus Tower to a more secluded space in Li Ka Shing, creating a more confidential, accessible, and welcoming space for members of the university community to seek support and services from OSDHR.

OSDHR also experienced an increase in education requests during 2020-21. This led to the recruitment of the Education Coordinator and Intake Worker position in September 2021, to respond to the education requests from the university community and to offset the high volume of disclosures. Prior to this, the Office was staffed by only one Full Time Equivalent (FTE).

Due to the pandemic, OSDHR, like many other campus services, continued to provide services remotely. OSDHR received a large number of inquiries and disclosures related to COVID-19 vaccine exemption requests and masking directives. The pandemic also led to new challenges surrounding accessibility, equity and inclusion with a disproportionate impact on equity-deserving groups such as women, members of visible minority groups, Indigenous Peoples, persons with disabilities, and 2SLGBTQ+ people.

In 2020-21, the university announced and implemented academic restructuring plans. These changes across the institution, while beneficial for efficiency and organizational goals, led to many feeling stressed and uncertain about how these changes would impact the broader community. During this period of transition, OSDHR provided resources and referrals services to employees who were adjusting to these changes.
On May 2020, the murder of George Floyd by police sparked worldwide acknowledgement of systemic racism, and in particular anti-Black racism. This unfortunate event, catapulted dialogue on the issue of systemic racism, not only in the United States, but also in Canada and in particular, within academic institutions including the UofA. During this time, OSDHR served as a space for students, staff and faculty to disclose their concerns with this institution’s long history and legacy of racial inequity. OSDHR was involved in various committees and met with student groups to better understand how OSDHR can address racial inequity within our day-to-day work. OSDHR continues to make improvements in the delivery of service by limiting barriers to access for racialized members of our community and encouraging others to participate in taking the steps to eliminate racism through education outcomes.

Overall, OSDHR has faced many challenges these last two years but was able to overcome significant institutional and global shifts with limited resources. While OSDHR prioritizes meeting its mandate of providing a safe, neutral and confidential space for university community members to disclose, and recognizes the vital need for these services, the office continues to experience a higher demand and increased workload due to an increase in the office’s visibility. This has resulted in a constraint on the two staff members, who are at risk for burnout, given the nature and volume of this work.

The Role of the Office of Safe Disclosure and Human Rights
OSDHR provides a safe, neutral and confidential space to hear about disclosures of discrimination, harassment (including bullying), accommodations, safety violations, research misconduct, ethical concerns, financial mismanagement, or any other possible misconduct or wrongdoing. The role of OSDHR is to understand the nature of the concerns and to provide appropriate advice and referrals. It is up to the individual disclosing to decide how they wish to proceed or whether they wish to initiate any formal processes. OSDHR is unique in that it provides services to all members of the university community (students, faculty, staff, postdoctoral fellows, visitors, volunteers, etc.).

OSDHR also works to promote and steward human rights, equity, diversity, and inclusion at the University of Alberta, through workshops and presentations to ensure that human rights and the associated principles are integrated into daily campus life.

Disclosures: 2020-2022

Overview: Type of Disclosures
Please note that individuals may disclose multiple concern; therefore, the type of the disclosure may be reflected as multiple categories listed in the charts below. The discloser is always the decision maker in terms of what they would like to share with OSDHR. As such, OSDHR is only able to track the types of disclosures and specific details, when the discloser has provided it. In 2020-21, OSDHR received 185 disclosures. During 2021-22, the number of disclosures OSDHR received increased by 11% to 208 disclosures.
In 2021-22, there was an increase in the number of disclosures received regarding discrimination, harassment, accommodation, and sexual violence. OSDHR also experienced a high number of disclosures in 2021-22 from both employees and students related to Covid-19. This was in large part due to the return to campus, vaccine exemptions, and mask mandates. Please note that in the charts below some categories have been collapsed to protect privacy.

*Collapsed categories includes: animal welfare, breached collective agreement, article 18, graduate/supervisor concerns, intellectual property, Ethical conduct & Safe Disclosure policy, PIDA Breach, Contract Issues (Employment)

Other reflects disclosures that did not fall within OSDHR’s standard categories, such as off-campus events, benefits, social media, etc.

**Discrimination based on Protected Grounds**
The fifteen protected grounds listed under the [Discrimination, Harassment and Duty to Accommodate (DHDA) policy](#) are as follows: race, colour, ancestry, place of origin, religious beliefs, gender, gender identity, gender expression, physical disability, mental disability, marital status, family status, source of income, sexual orientation, age, political beliefs, or any other groups as amended from time to time.

In both 2020-21 and 2021-22, discrimination based on race, colour, ancestry and place of origin was the highest disclosed.
Harassment
Please refer to the DHDA policy for the definitions of harassment, bullying, sexual harassment, and racial harassment. OSDHR is only able to capture the type of harassment when the discloser wishes to share details. Overall, 2020-21 the highest number of disclosures pertaining to harassment were regarding bullying. In 2021-22, sexual harassment had a higher number of disclosures. Please note that sexual harassment is a form of gender discrimination and racial harassment is also a form of discrimination. General harassment is harassment that is not linked to a protected ground.
**Duty to Accommodate**

OSDHR received the highest number of disclosures for both 2020-21 and 2021-22 regarding accommodation concerns based on the protected ground of mental disability. Please note that in some cases disclosers did not share specific details regarding their accommodation concerns, in which case this is reflected as “unknown protected grounds” in the 2021-22 chart below.
Discloser Demographics

OSDHR receives disclosures from a wide range of university community members, including undergraduate students, graduate students, post-doctoral fellows, staff, faculty, visitors and volunteers. Reflected below is information on the student and employee categories.

OSDHR can receive disclosures from more than one individual, for example, two students may choose to come to the office together to disclose a concern.

### Overview of Disclosers: 2020-21

- **Student Disclosers**: 94
- **Employee Disclosers**: 13
- **Unaffiliated**: 65

### Overview of Disclosers: 2021-22

- **Student Disclosers**: 119
- **Employee Disclosers**: 15
- **Unaffiliated**: 114

*employees include all groups of employees (faculty, support staff, management and excluded staff, etc.)

### Student Disclosers

Overall, OSDHR received a higher number of disclosures from undergraduate students versus graduate students in 2020-21 and 2021-22. However, compared to the overall student population, the number of graduate students that disclosed to the office is still significant.
Employee Discloser

The type of staff agreement that an employee belongs to is listed below in the chart. Overall, both in 2020-21 and 2021-22 OSDHR received the highest number of disclosures from NASA operating staff, followed by Faculty.
Overview: Disclosure Actions

The charts below reflect the actions or steps that OSDHR has taken with a disclosure. OSDHR typically meets with a discloser via phone, in-person, or virtually, listens deeply to the nature of the concerns, and then provides advice and referrals. In 2020-21, OSDHR was still developing its new database; therefore “Other” was utilized. However, in 2021-22 OSDHR created the category “Email to Discloser” to capture the amount of follow-ups and check-ins’ the office was managing with disclosers.

Meetings

In 2020-21, OSDHR had 168 meetings with disclosers, compared to the 216 meetings with disclosers in 2021-22 (a 22% increase). In 2021-22, OSDHR sent an email to follow up/check-in with a discloser 121 times.
**Referrals**

In 2020-21, OSDHR provided 201 referrals to disclosers, compared to 339 referrals (41% increase) in 2021-22. The highest number of referrals was to the Dean of Students Office in both reporting years. Overall, OSDHR provides multiple referrals to a broad range of internal and external stakeholders. During the pandemic, a high number of disclosers were referred to the Alberta Human Rights Commission for information on Covid-19 specific to human rights.

*Other includes referrals to Alberta Health Services, Domestic Violence Helpline, Edmonton Community Legal Centre, etc.*
Consultations

OSDHR provides consultations to staff, faculty, student service providers, and senior leaders on a wide array of issues. OSDHR had a similar number of consultations for both 2020-21 and 2021-22.

OSDHR is often consulted regarding policy questions or other generic questions, where the individual themselves is not disclosing regarding a specific situation, rather they are requesting broader information and/or advice on; policy, procedures, best practices or legislation such as the *Alberta Human Rights Act*.

<table>
<thead>
<tr>
<th>YEAR</th>
<th>Number of Consultations/Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-21</td>
<td>11</td>
</tr>
<tr>
<td>2021-22</td>
<td>12</td>
</tr>
</tbody>
</table>

*Other includes referrals to the College of Physicians and Surgeons, the Landing, Stop Hate AB, Edmonton Community Legal Centre and more.
Article 18 Intake Officer Role

The Advisor in OSDHR is also the Intake Officer for Article 18 complaints as outlined in the Non-Academic Staff Association (NASA) Collective Agreement. The Intake Officer is a person designated by the Employer and endorsed by the Union, who is skilled in the assessment of discrimination and harassment complaints. The Intake Officer reviews complaints to determine if they fall within the definition of harassment and/or discrimination, are complete (as outlined in Appendix G #2 of the Common Provisions of the NASA Collective Agreement), and are timely. If a complaint meets the criteria, the Intake Officer sends the complaint to the Case Manager for further next steps.

In 2021-22, a higher number of Article 18 complaints were received by the Intake Officer compared to the prior year. This was likely due to the increase of Article 18 complaints that were related to vaccine exemptions.

<table>
<thead>
<tr>
<th>YEAR</th>
<th>Number of Article 18 Complaints</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-21</td>
<td>3</td>
</tr>
<tr>
<td>2021-22</td>
<td>9</td>
</tr>
</tbody>
</table>

Education

The Office of Safe Disclosure & Human Rights (OSDHR) continues to respond to the educational needs of the university by developing and implementing an educational framework that supports the realization of human rights within the institution.

Education Requests

OSDHR has responded to education requests made directly through the office by various professors, departments, faculties and institutional partners within the university community. In addition, OSDHR has seen a high number of participants, solely from promotion through university communications systems such as the Employee and/or Student Digests.

<table>
<thead>
<tr>
<th>YEAR</th>
<th>Total # of Workshops/Training</th>
<th>Total # of Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-21</td>
<td>14</td>
<td>375</td>
</tr>
<tr>
<td>2021-22</td>
<td>14</td>
<td>349</td>
</tr>
</tbody>
</table>

In 2020-21, OSDHR offered 14 training and workshops to the university community. The request for education came from various faculties, departments and student led organizations. OSDHR is proud to have worked closely with The Faculty of Graduate Studies and Research on a number of initiatives during the 2020-21 academic school year. Most notable was that OSDHR was able to collaborate in the development of the supervisor training modules, with a particular focus on discrimination, harassment and accommodation; and Diversity & Inclusivity (focusing on supervisor and supervisee relationship).
In 2021-22, OSDHR offered 14 unique training and workshops to students, faculty and staff working in partnership with the university (total number of participants 349). OSDHR staff also acted as subject matter experts to support students and staff groups with advice on policy and practice on the topic of human rights. The number of educational offerings remained the same for 2021-22 from the previous year (2020-21) likely because of the time constraint of onboarding the newly hired Education Coordinator and Intake Worker. Although OSDHR did not offer training for three months to onboard the new staff member, the number of participants for the training sessions has remained relatively comparable to the previous year.

**What We Heard**

“The workshop coaxed me to be self-aware and I like that the last activity was to commit to an action item from the key takeaways.”

“The presenter was very welcoming, knowledgeable, and created an interactive and engaging session”

“I appreciate the diversity of the workshop. It was a safe space to learn, ask questions and share. I appreciate the visuals and also the scenarios where we had the opportunity to talk through each. I left wanting to learn more and challenge myself on what and how I could do things better. Thank you!”

“I really enjoyed this workshop. Thank you so much for offering this and advertising it through the Employees Digest.”

“The energy of the class was warm, calm and welcoming. The Facilitator spoke at a nice pace, and explained things well. The subtitles are helpful, for different learning styles. The approach to Privilege was great! and a good place from us to start, to open our minds in a different way to listening and learning.

**Visiting Lectureship in Human Rights**

OSDHR continues to meet its mandate of serving as a member of the Visiting Lectureship Human Rights (VLHR) selection committee. OSDHR is working in collaboration with other members of the selection committee to identify and select a number of speakers for the 2022-23 school year, in honour of the 75th anniversary of the proclamation of the UN Declaration of Human Rights.

**Additional Initiatives/Involvement**

OSDHR provides advice and expertise to both institutional initiatives/programs and with regard to university operations.

Additional initiatives that OSDHR is involved with include:

- EDI Scoping Committee
- Diversity, Equity and Inclusion Committee - Faculty of Medicine and Dentistry
- Faculty of Graduate Studies & Research (FGSR) - Supervisory Initiatives
- FGSR – Academic Integrity and Ethics Training Requirement
• Ad Hoc Faculty/Department EDI Committees Requests
• Sexual and Gender-Based Violence Advisory Council
• Human Resources, Health, Safety and Environment (HRHSE)
  o DHDA Policy Suite Revisions
  o Sexual Violence in the Workplace Training
  o Workplace Violence and Harassment Training
  o Monitoring for retaliation within termination process
  o Confidential file checks
• Ad Hoc Student Group Initiatives

Current Challenges

Given the challenges in the last two years, OSDHR has mainly focused on maintaining services levels, standardizing its internal processes, improving the office’s record management and building capacity of the office. Given the increased visibility of the office, an increase in education requests and the broader changes happening across the institution, OSDHR expects its workload to increase in 2022-23. Although OSDHR is currently meeting the demands, there is potential for the office to be unable to do so if there is an increase in disclosures, consultations, education requests, and article 18 complaints in 2022-23.

Moving forward, OSDHR would benefit from some strategic planning to prioritize efforts and map out short-term and long-term goals of the office as we move into the reporting year of 2022-23. With the incoming Vice-Provost, Equity, Diversity and Inclusion (EDI) the office hopes to have further oversight and direction regarding strategic priorities.
**Governance Executive Summary**

**Action Item**

<table>
<thead>
<tr>
<th>Agenda Title</th>
<th>Proposed Changes to Membership Restrictions for Academic Staff on University Appeal Boards</th>
</tr>
</thead>
</table>

**Motion**

THAT the GFC Executive Committee approve, with delegated authority from General Faculties Council, the proposed changes to eligible staff categories for service on the GFC Academic Appeals Committee (AAC) and the University Appeal Board (UAB) as set forth in the attachments, to take effect upon approval.

**Item**

<table>
<thead>
<tr>
<th>Action Requested</th>
<th>☒ Approval ☐ Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposed by</td>
<td>University Governance</td>
</tr>
<tr>
<td>Presenter(s)</td>
<td>Laura Riley, Appeals and Compliance Coordinator</td>
</tr>
<tr>
<td></td>
<td>Heather Richholt, Associate Secretary to GFC</td>
</tr>
</tbody>
</table>

**Details**

<table>
<thead>
<tr>
<th>Office of Administrative Responsibility</th>
<th>General Faculties Council</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Purpose of the Proposal is (please be specific)</td>
<td>The proposal is before the committee because of EXEC’s responsibility for changes to student discipline policies and procedures.</td>
</tr>
<tr>
<td>Executive Summary (outline the specific item – and remember your audience)</td>
<td>At present, only tenured, tenure track, and faculty members on post-retirement contracts are eligible to serve on the AAC and UAB. This presents a barrier for some Faculties and there have been persistent staff vacancies on University Appeal Bodies during a time of higher than normal numbers of appeals. The message from Deans has been that members from other academic staff categories and in particular, Career Academic Teaching Staff (ATS), have service components written in to their contracts, and have the expertise needed to serve in these roles. The proposed changes to the Academic Appeals Policy (AAP) and the Code of Student Behaviour (COSB) would allow an Academic Staff Member from any category who is interested and qualified to apply to serve on an appeal body. Academic staff members and students interested in applying to serve on an appeal body meet with the Appeals and Compliance Coordinator to gain information on the roles and commitments of a Chair and/or Staff Panel Member. This meeting allows the Appeals and Compliance Coordinator to ensure volunteers possess the skills and availability to commit to this important service. As a non-voting member of the GFC Nominating Committee, the Appeals and Compliance Coordinator can also supplement the information provided in an application to assist the Nominating Committee in their consideration and nomination of members to judiciary panels.</td>
</tr>
<tr>
<td>Supplementary Notes and context</td>
<td>● Unrelated changes to the COSB are pending approval by the Board of Governors.</td>
</tr>
</tbody>
</table>
GFC Executive Committee holds the delegated authority from General Faculties Council to approve changes to the AAP and COSB as set forth in the attached documents.

**SCPC discussion:**
At their meeting of October 20, 2022, GFC Student Conduct Policy Committee (SCPC) members expressed concern that academic staff members would be asked to fill these positions without some kind of recognition and proposed to add the following (underlined) language: Academic Staff from Category A with a service component in their contract. In subsequent consultation with Faculty Relations the proponents were informed that all academic staff members could undertake service activities, whether they are a formal expectation of them, with such service documented and subject to annual evaluation or, with the understanding that service activities are outside of their University Responsibilities and undertaken at the discretion of the staff member and not subject to annual evaluation.

### Engagement and Routing (Include meeting dates)

<table>
<thead>
<tr>
<th>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</th>
<th>Those who have been consulted:</th>
</tr>
</thead>
</table>
| <For information on the protocol see the Governance Resources section Student Participation Protocol> | • David Johnson, Interim Appeals and Compliance Officer  
• Tammy Hopper, Dean, Faculty of Rehabilitation Medicine  
• Angela Bayduza, Associate Dean, Faculty of Kinesiology, Sport, and Recreation  
• Christine Hughes, Interim Dean, Faculty of Pharmacy and Pharmaceutical Sciences  
• Current and past ATS representatives on GFC, Jill Hall, Valentina Kozlova, Jennifer Passy  
• Evelyn Hamdon, Senior Advisor, Equity and Human Rights  
• Faculty Relations (Post SCPC meeting) |
| Those who have been informed: | • Faculty Deans |

**Approval Route (Governance) (including meeting dates)**

- GFC Student Conduct Policy Committee (for recommendation) - October 20, 2022  
- GFC Executive Committee - December 5, 2022

### Strategic Alignment

<table>
<thead>
<tr>
<th>Alignment with For the Public Good</th>
<th>Objective 21</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alignment with Core Risk Area</td>
<td>Please note below the specific institutional risk(s) this proposal is addressing.</td>
</tr>
</tbody>
</table>
| ☐ Enrolment Management  
☐ Faculty and Staff  
☐ Funding and Resource Management  
☐ IT Services, Software and Hardware  
☒ Leadership and Change  
☐ Physical Infrastructure | ☒ Relationship with Stakeholders  
☐ Reputation  
☐ Research Enterprise  
☐ Safety  
☒ Student Success |
Item No. 5

| Legislative Compliance and jurisdiction | Post-Secondary Learning Act  
| GFC Student Conduct Policy Committee  
| GFC Executive Committee  
| GFC Academic Appeals Policy  
| Code of Student Behaviour |

Attachments (each to be numbered 1 - <>)
1. Draft Revisions to the Academic Appeals Policy
2. Draft Revisions to the Code of Student Behaviour

Prepared by: Heather Richholt, richholt@ualberta.ca
1. GFC Academic Appeals Policy (University Governance)

The Post-Secondary Learning Act gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)) and over Student appeals (section 26(1)(h)) and otherwise. GFC may also legislate “conditions or restrictions” on the powers of Faculty Councils (section 29(1)). GFC has thus established the General Faculties Council Academic Appeals Committee (“GFC AAC”), as set out below. (EXEC 12 FEB 2018)

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

Informal Faculty Level of Appeal/Petition

A Student may submit an informal appeal/petition to the Dean or delegate. Regardless of whether or not a Student initiates an appeal, however, the Dean or delegate may issue any remedy, including a remedy that waives the Faculty's academic standing regulations as approved by GFC and published in the University Calendar. This informal process is meant to precede and to avoid formal appeal, but does not preclude formal appeal to the Faculty Council or Faculty academic appeals committee. (GFC 23 FEB 2004)

NOTE: Acronyms are used throughout the policy; please refer to “Definitions” at the end of this policy.

1.1 Authority

1.1.1 GFC Procedures for Resolving Academic Grievances within the Faculties

General Faculties Council is interested in ensuring that each Faculty at the University establish procedures whereby decisions affecting the Academic Standing of a Student may be reviewed and appealed within the Faculty.

When Faculties notify Students of adverse academic standing decisions, including such matters as continuation in a program, graduation and the requirement for a Student to withdraw, Faculties are required to tell Students there is a right of appeal within the Faculty. The Faculty shall provide the Student with information regarding the appeal deadline, the name of the delegate or body to whom their appeal should be addressed, and information as to where the appeal must be received.

1.1.2 Appeals to Faculty Academic Appeals Committees

1. Students have the right to appeal an Academic Standing decision of the Dean to the Faculty Academic Appeals Committee (“FAAC”).

2. Appeals to an FAAC must meet the timeframes and stipulations that each Faculty has set out in its academic appeal regulations.

3. Each Faculty may establish additional rules and procedures for the actual hearing of FAAC appeals and shall provide information in the Faculty section of the Calendar indicating where Students can obtain a copy of the Faculty’s appeal procedures.

4. In the event that a Faculty fails to publish in the Calendar where Students can obtain a copy of the appeal procedures, or in the event that a Faculty has failed or neglected to establish such regulations or procedures, General Faculties Council shall publish regulations and procedures for that Faculty pursuant to Section 26(1)(a), and otherwise, of the Post-Secondary Learning Act.
1.1.3 Procedures for the Dean of the Faculty

1. The Dean is responsible for informing the Student, in writing, of the outcome of the FAAC Academic Standing appeal.

2. In the event of an unsuccessful appeal, the Dean is further responsible for informing the Student:
   a. that there is a right of formal appeal to the GFC AAC;
   b. of the name of and contact information for the Appeals Coordinator;
   c. that any formal appeal must be lodged with the Appeals Coordinator;
   d. that the deadline for lodging such a formal appeal is 15 working days as provided in Section 1.2.1;
   e. of the Student’s right to the assistance of an Advisor (with contact information provided for the Office of the Student Ombuds).(EXEC 12 FEB 2018)

1.2 Procedures for Appeal of Decisions to the GFC Academic Appeals Committee (GFC AAC)

1. Students have a right of appeal to the GFC AAC from an adverse Faculty decision affecting their Academic Standing.

2. The deadline for lodging such a formal appeal is fifteen (15) Working Days from the Student’s deemed receipt of the Faculty decision (see Service and Notice). This deadline must be met notwithstanding any pursuit by the Student of any available informal appeal and/or petition process to the Dean as referred to in Section 1 of the Academic Appeals Policy, Informal Faculty Level of Appeal/Petition.

3. An appeal may be made only on the basis that there has been a Miscarriage of Justice in the case of the Student’s appeal at the Faculty level.

4. All known grounds must be listed and explained in the appeal. The grounds to establish a Miscarriage of Justice for an appeal shall include, but not be restricted to, the following:
   a. procedural errors on the part of a Faculty provided that a defect in procedures shall not warrant the quashing of the decision being appealed, unless the defect complained of can reasonably be said to have deprived the student of a fair hearing;
   b. failure of a Faculty to consider all factors relevant to the decision being appealed;
   c. bias or discrimination against the Student on the part of a Faculty.

1.2.1 Initiation of an Appeal

1. Appeals to the GFC AAC must:
   a. be in writing;
   b. be signed by the Student;
   c. be received by the Appeals Coordinator within fifteen (15) Working Days of the deemed receipt of the written Faculty decision;
   d. set forth the decision being appealed;
   e. provide the name of the person or body who made the decision;
f. state the full grounds of appeal;
g. state the nature of the Miscarriage of Justice (e.g. “The Miscarriage of Justice in my case is …”)
h. state the relief requested.

1.3 General Faculties Council (GFC) Resolution Delegating Authority to the GFC Academic Appeals Committee

General Faculties Council has delegated to the General Faculties Council Academic Appeals Committee (GFC AAC) the power and authority to perform those functions and exercise those powers as provided for in these regulations.

1.3.1 Board of Governors Resolution Delegating Authority to the GFC Academic Appeals Committee

WHEREAS a question has arisen as to the duty of the Board on receipt of a petition from a Student asking the Board to intervene in or to sit in appeal on or to review an academic decision made by General Faculties Council (which for the purposes hereof includes any person or body over whom General Faculties Council has jurisdiction in academic matters):

As long as the General Faculties Council Academic Appeals Committee continues to exercise jurisdiction to hear and determine Student appeals from Faculty decisions affecting academic standing at the University, the Board shall refuse to interfere in or to sit in appeal on or to review the decision of General Faculties Council Academic Appeals Committee thereon PROVIDED that nothing herein shall preclude the Board from interfering in or sitting in appeal on or reviewing any decision of General Faculties Council where the reason for such interference, appeal or review is in substance something other than an academic judgment or an academic discretion.

1.4 GFC Academic Appeals Committee (GFC AAC)

1.4.1 The Jurisdiction of the Committee

1. The Committee shall hear and determine appeals from Appellants against decisions of Faculties affecting Academic Standing at the University.

2. The Committee shall have no jurisdiction to hear an appeal until the Appellant has exhausted all formal appeal processes available within the Faculty.

3. The Committee shall have no jurisdiction to hear an appeal where:

   a. the Appellant was granted relief by the Faculty with written conditions and specified consequences should the conditions not be met and;
   b. the Appellant was both informed of the right of appeal at the time the conditions were set and that, by not appealing the conditions and specified consequences, any further appeal rights were waived.

4. The Committee shall have no jurisdiction to hear an appeal with respect to:

   a. marks or grades awarded;
   b. an examination decision of the Faculty of Graduate Studies and Research;
   c. a decision to refuse admission or readmission to a Faculty;
   d. a decision relating to the granting of credit for courses taken or to be taken outside the University of Alberta;
   e. a decision on Academic Standing arising from a discipline matter;
f. a decision on Academic Standing arising from a Practicum Intervention, as defined and set out in the Practicum Intervention Policy;
g. other matters deemed by the Committee to be outside its jurisdiction.

5. In the case that the Appellant produces new information prior to the GFC AAC hearing that was not available to the Faculty Appeals Committee, the Faculty can request that this information be heard first by the Faculty Appeals Committee. The request by the Faculty must be made prior to the start of the GFC AAC hearing.

6. In the case that new information is introduced during a hearing, it will be at the discretion of the GFC AAC to decide, after hearing submissions from both parties, whether a new Faculty hearing should be held or whether the GFC AAC hearing should proceed.

7. Notwithstanding that an Appellant may satisfy the Committee that the Appellant’s case falls within the grounds of appeal, the Committee shall uphold the appeal only if it is convinced that a Miscarriage of Justice has occurred.

8. The Committee shall hear an appeal from the Appellant against the same decision only once.

9. a. When an Appellant appeals twice on what is considered by the Appeals Coordinator to be the same decision, the question of jurisdiction shall be decided by as many members of the original Panel who are still Panel Members or who are still Student or Faculty Staff members at the University of Alberta. Such persons shall be considered by GFC as members for this purpose, and for any subsequent hearing. Other Panel Members may be added to this Panel in order to constitute a full Panel (see Section 1.4.3 – Composition of the Committee). The normal quorum regulation shall apply;
b. If this Panel finds that the Appellant is appealing the same decision twice, there shall be no re-hearing. The decision of the original committee shall stand and shall be final and binding;
c. If this Panel finds that the Appellant is appealing a new decision, the Appellant may choose to have the case heard either by this Panel or by a new Panel.

10. In some instances, the Appellant may question whether or not the Faculty has carried out the relief granted. These concerns will be addressed collectively by the Dean, the GFC AAC Chair and the Appellant. If the Appellant’s question is not addressed to the satisfaction of the Appellant, the following procedure will be adopted:

a. The question shall be decided by as many members of the original Panel who are still Panel Members or who are still Student or Faculty Staff members at the University of Alberta. Such persons shall be considered by GFC as members for this purpose. Other Panel Members may be added to this Panel in order to constitute a full Panel (see Section 1.4.3 – Composition of the Committee). The normal quorum regulation shall apply;
b. This Panel’s decision on the matter shall be final and binding.

1.4.2 Powers of the Committee

1. The decision of the Committee shall be either:

a. to uphold (grant) the Appellant’s appeal and award any remedy that is not contrary to published Faculty’s regulations;
b. to deny the appeal.

2. The decision of the Committee shall be final and binding.
1.4.3 Composition of the Committee

The Committee shall consist of three members elected by GFC:

1. two Faculty Members on post-retirement contracts or from Categories A1.1*, A1.6, or their counterparts in A1.5 and A1.7 Academic Staff Members from Category A* with a service component in their contract, or faculty members on post-retirement contracts; with one Faculty Staff member to serve as Chair of a particular hearing, selected from the Panel of Chairs described below, and one Staff Faculty member selected from the Panel of Staff Faculty members described below; (EXEC 07 MAR 2005)

   *See UAPPOL Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff and Colleagues

2. one full-time undergraduate Student or one full-time graduate Student selected from the Panel of Students described below. If the Appellant is an undergraduate Student, an undergraduate Student shall serve on the Committee. If the Appellant is a graduate Student, a graduate Student shall serve on the Committee.

All Panel Members described below shall be elected by GFC. In selecting Panel Members, GFC will attempt to keep the membership of the GFC AAC as broadly representative as possible of all Faculties given the available pool of candidates.

Panel of Chairs:
GFC shall elect up to six Faculty Members on post-retirement contracts or from Categories A1.1, A1.6 or their counterparts in A1.5 and A1.7 Academic Staff Members from Category A with a service component in their contract, or faculty members on post-retirement contracts. These Faculty Staff members will serve for staggered terms of office and will normally be drawn from among present or past members of the GFC AAC. To the extent possible, each Faculty Staff member shall come from a different Faculty.

Panel of Faculty Staff Members:
GFC shall elect up to four Faculty members on post-retirement contracts or from Categories A1.1, A1.6 or their counterparts in A1.5 and A1.7 Academic Staff members from Category A with a service component in their contract, or faculty members on post-retirement contracts. To the extent possible, Faculty Staff members shall come from different Faculties.

Panel of Students:
GFC shall elect up to 4 full-time undergraduate Students and up to 4 full-time graduate Students. To the extent possible, the four undergraduate Students shall come from different Faculties. To the extent possible, the four graduate Students shall come from different Faculties.

1.4.4 Term of Office

1. The Panel of Chairs and the Panel of Faculty Staff members shall be appointed for such terms as General Faculties Council shall determine.

2. The Panel of Students shall be appointed for terms of up to two years and are eligible for re-election.

3. Any Panel Member who has been called to serve on the GFC AAC for a particular case may complete their service on that case even if their term expires or, in the case of Students, a Student graduates or changes status from undergraduate to graduate or graduate to undergraduate status.
1.4.5 Constituting the Committee

1. When constituting the Panel to hear an appeal, no more than two members may come from the same Faculty.

2. No GFC AAC member will be called upon to hear an appeal if the member is from the same Faculty as the Appellant or Respondent.

3. If all Faculty members from the Panel of Faculty Members are unable to serve, the Appeals Coordinator may complete a Panel by selecting, in rotation, first from the GFC AAC Panel of Chairs, and then from the UAB Panel of Chairs.

4. If all Student members from the Panel of Students are unable to serve, the Appeals Coordinator may complete a particular Panel by selecting, in rotation, either one full-time undergraduate Student or one full-time graduate Student, from the UAB Panel of Students. (See Section 1.4.3.2)

5. For the purpose of selection and service on the GFC AAC, graduate Students are considered to be from the Faculty where they receive supervision. Students who are in any joint graduate/undergraduate degree program (e.g., the joint MBA/LLB program) are considered to be graduate Students for the purpose of service and selection on the GFC AAC. Students in any joint degree program will not be called upon to hear appeals which arise from any of the Faculties involved in the joint program.

6. For each appeal, every attempt will be made to have a reserve member from each membership category, including the category of Chair, prepared in advance to attend the hearing.
   (This shall be interpreted to mean that a member who is unable to attend may be replaced by a member from the same category as the absent member.)

7. The Appeals Coordinator may select, in rotation, for each appeal hearing, a reserve member from the GFC AAC Panel of Chairs who may be used to replace either the Chair or the Faculty Staff member. Should the list be exhausted, a Faculty Staff member from the UAB Panel of Chairs may be selected.

8. GFC AAC members will be asked in advance of a hearing to declare any possible bias. If a GFC AAC member declares such a bias, a member from the same category will be selected in rotation from the membership list, which both parties were given an opportunity to challenge.

9. No GFC AAC member will be called upon to hear an appeal if the Provost and Vice-President (Academic) (or delegate) is aware of any reason why a particular member is unable to effectively serve on a hearing panel.

1.5. Appeal Procedures

1.5.1 Procedures Prior to a Hearing

1. Upon receipt of an appeal the Appeals Coordinator shall:
   a. select a Chair for the GFC AAC hearing, provide the name of the proposed Chair to the Appellant and Respondent, and, to the extent possible, provide the date being considered by the Chair for the hearing;
   b. provide the Appellant and Respondent with a written acknowledgement of the appeal;
   c. provide the Appellant and Respondent with a list of On-Campus Sources of Assistance;
d. provide the Appellant and the Respondent with the GFC AAC/UAB membership lists;
e. advise the Respondent that a response is required within ten (10) Working Days;
f. advise the Respondent that the response must include the following minimum information:
   i. all documents available at any Faculty level hearings related to the appeal (normally the 
      hearing by the Faculty Academic Appeals Committee);
   ii. response to the Appellant's grounds for appeal;
   iii. comments on the alleged Miscarriage of Justice and on the relief requested;
   iv. the academic standing regulations from the Calendar governing the Appellant's program
      (normally the current Calendar regulations);
   v. the regulations that governed the Appellant's Faculty appeal hearing, including any hearing
      procedures;
   vi. in cases where written reasons were provided by the Faculty appeals committee, a copy of
      the reasons shall be provided;
   vii. a copy of the Appellant's transcript.

2. The Appellant and Respondent will have five (5) Working Days after receipt of the GFC AAC and 
UAB membership lists to lodge any challenge requesting that a Chair or a panel member not serve on 
the appeal. Challenges may only be made on the grounds that the Chair or panel member may have 
a bias that would prevent a fair hearing. The challenge must include written reasons to support the 
challenge. The Chair shall consider and rule upon the challenge. The decision of the Chair will be 
made without receiving further submissions and shall be final and binding.

3. In the event that a procedural issue is raised before the hearing, the Appeals Coordinator will refer 
the matter to the Chair of the GFC AAC. The Chair will make a decision and before doing so may 
consult with the Appeals Coordinator and may consult with members of the Committee. The decision 
of the Chair shall be final and binding.

4. Either the Appellant or the Respondent may request in writing an extension of any time limits. The 
GFC AAC Chair may extend any of the time limits where the GFC AAC Chair is of the opinion that the 
Appellant or Respondent has reasonable grounds for requesting such extension. The decision of the 
GFC AAC Chair may be made without a hearing and shall be final and binding.

5. The Appellant and Respondent must notify the Appeals Coordinator immediately upon selecting an 
Advisor for purposes of representation at the GFC AAC hearing.

6. If either the Appellant or Respondent plan to call witnesses, then that party must provide a witness list 
to the Appeals Coordinator at least five (5) Working Days prior to the hearing date. The Appeals 
Coordinator shall ensure that as witnesses become known, the other party and the GFC AAC are 
informed as to the identity of the witnesses. Each party is responsible for securing the attendance of 
their witnesses at the hearing.

1.5.2 The Hearing Date

1. Appeals are intended to proceed in a timely manner and the hearing date will normally be set to occur 
within thirty (30) Working Days of the receipt of the appeal. Both parties shall be provided with 
reasonable notice of the hearing date.

2. If the time of the hearing is after the start of the fall, winter, spring, or summer term, the Appellant may 
be permitted a temporary registration, which is subject to cancellation if the appeal is denied. 
However, no temporary registration will be permitted if, in the opinion of the Dean, a case of Public 
Safety is involved. In accordance with the University Calendar students who owe money to the 
University will not have access to registration. (EXEC 12 FEB 2018)
3. Appeal cases which involve temporary registration, may be given priority by the GFC AAC.

4. The Appeals Coordinator shall consult with the Chair, who shall set a time and place for the hearing of the appeal.

5. Reasonable delays are allowed, but should either party feel that an unreasonable time has passed without the date of the hearing being set, either party may appeal to the GFC AAC Chair, through the Appeals Coordinator, for a ruling as to whether the delay is reasonable. If the GFC AAC Chair decides the delay is unreasonably long, then the GFC AAC Chair shall, within ten (10) Working Days of such a decision, set the appeal hearing date. The appeal hearing must occur within twenty (20) Working Days of the Chair’s decision. The decision of the GFC AAC Chair will be made without a hearing and is final and binding.

6. The Appeals Coordinator shall constitute the GFC AAC and provide its members, the parties and their respective Advisors with:
   a. the date, time and place of the Appeal Hearing;
   b. the appeal and any documentation from the Respondent.

1.5.3 Service and Notice

1. Notices, decisions and other appeal materials sent by the Appeals Coordinator may be hand-delivered, sent by courier, by e-mail or sent by any method of delivery offered by Canada Post. In cases where Appellants have an official campus address, material may be sent to that address by campus mail. Alternatively, at the Appellant’s request, the Appellant may pick up the material, decision or notice at an arranged place. In all cases, the Appeals Coordinator will decide which method of delivery will be used.

2. When sent by Canada Post, campus mail or courier, notices, decisions and appeal materials shall be sent to the last address provided by the Appellant to the University.

3. Delivery is deemed to have been effected on the date of pick-up, receipt of hand or courier delivery, or five (5) Working Days after being sent by Canada Post to Canadian addresses, and seven (7) Working Days after being sent by Canada Post to International addresses, or two (2) Working Days after being sent by campus mail. In accordance with the University’s Electronic Communication Policy for Students and Applicants, (University Calendar), electronic communications sent by the University will be deemed received the next University business day after the day the e-mail was sent. (EXEC 12 FEB 2018)

4. Notices, decisions and other appeal materials sent by the Appeals Coordinator to a Faculty shall normally be sent by campus mail. Any of the other methods of deliveries noted in this part may also be used.

5. Deemed receipt or deemed delivery by a Student of a Faculty decision, if not already covered by a Faculty’s academic appeals regulations, is governed by this section.

1.5.4 Procedures at the Hearing

1. The quorum of the Committee shall be three members: the Chair, one Faculty Staff member and one Student member.

2. Decisions of the Committee shall be by majority vote.
3. Prior to hearing evidence the Committee shall:
   a. determine that the appeal falls within its jurisdiction (See Appendix - *Procedural Guidelines For GFC AAC Chairs*);
   b. take such steps as are necessary to familiarize itself thoroughly with the relevant Faculty regulations which shall be provided by the Faculty.

4. If the Appellant or Respondent does not appear on the date set for the hearing of the appeal, the GFC AAC may, in its discretion, reschedule the hearing or proceed with the hearing in the absence of the Appellant or the Respondent.

5. Both parties and the Committee may call and question witnesses and may call evidence.

6. The Appellant and Respondent may each be accompanied by one Advisor.

**1.5.5 Suggested Hearing Procedures**

1. The GFC AAC shall conduct hearings in a manner which, in its sole discretion, it considers proper. All determinants of process shall be made by the Chair. The hearing will normally follow these procedures, which it may vary:

   a. The Appeals Coordinator shall present the appeal to the GFC AAC and introduce the parties.
   b. The Chair shall explain the rules of decorum, review the procedures to be followed, and confirm the jurisdiction of the GFC AAC. The Appellant and Respondent may make statements, present evidence and ask questions as noted in this section. All questions should be directed through the Chair unless the Chair decides otherwise. The Chair shall ensure that everyone has sufficient opportunity to ask questions.
   c. The Chair shall invite the Appellant (and/or Advisor) to make an opening statement and present the case.
   d. The Chair shall invite the Respondent (and/or Advisor) to question the Appellant.
   e. The Panel may question the Appellant.
   f. The Appellant's witnesses shall be called by the Chair one at a time and shall be present only when they are providing evidence. The witnesses shall be questioned first by the Appellant (and/or Advisor), then by the Respondent (and/or Advisor), and finally by the Panel. The Appellant (and/or Advisor) may then re-question the witness, only on matters that have arisen in the course of the previous questioning by the aforementioned parties.
   g. When questioning is concluded, the witness shall be dismissed by the Chair. The questioning procedures shall be repeated for each witness.
   h. The Chair shall invite the Respondent (and/or Advisor) to make an opening statement and present the case.
   i. The Chair shall invite the Appellant (and/or Advisor) to question the Respondent. (EXEC 12 FEB 2018)
   j. The Panel may question the Respondent.
   k. The Respondent's witnesses shall be called by the Chair one at a time and shall be present only when they are providing evidence. The witnesses shall be questioned first by the Respondent (and/or Advisor); next by the Appellant (and/or Advisor); and finally by the Panel. The Respondent (and/or Advisor) may re-question the witness, only on matters that have arisen in the course of the previous questioning by the aforementioned parties.
   l. When questioning is concluded, the witness shall be dismissed by the Chair. The questioning procedures shall be repeated for each witness.
m. The Chair shall invite the Appellant (and/or Advisor) to present any evidence the Appellant (and/or Advisor) may have by way of rebuttal. Such evidence shall be subject to questioning by the Respondent (and/or Advisor); followed by the Panel.

n. The Chair shall invite the Appellant (and/or Advisor) to make a brief closing statement which is not subject to questioning.

o. The Chair shall invite the Respondent (and/or Advisor) to make a brief closing statement which is not subject to questioning.

p. The Chair shall adjourn the hearing for the GFC AAC’s deliberation; the Appellant and Respondent (and Advisors) shall leave the hearing.

q. The GFC AAC shall reach a decision by majority vote.

1.5.6 Communicating the Decision of the GFC AAC

1. The Chair of the GFC AAC, where practical, will communicate the decision to the Appeals Coordinator. The Appeals Coordinator, as soon as possible, will relay the decision to the Appellant (and Advisor) and the Respondent (and Advisor).

2. The Chair shall normally submit the written decision of the GFC AAC within ten (10) Working Days of the decision being reached. The written decision shall be signed by the Chair. The Appeals Coordinator shall then send a copy of the decision to the Appellant and the Respondent, their respective Advisors, the GFC AAC panel members, the Panel of Chairs and the GFC AAC delegate who serves on the Academic Standards Committee (ASC).

1.5.7 Confidentiality of Hearing and Material

1. Subject to existing University rules or regulations governing the confidentiality of information, all documents related to the appeal shall be made available to the Committee, both parties, and their respective Advisors.

2. Hearings of the Committee are closed and all materials related to the hearings are confidential.

3. At the discretion of the Chair, incoming members of the GFC AAC may attend the hearing as Observers. Observers play no active role in the hearing. GFC allows for their attendance as part of the training process for Chairs and members. Observers will receive a copy of appeal material.

1.5.8 Access to Appellant Records by the Provost

1. The Provost or delegate shall:

   a. Have access to the Appellant's record held by a Faculty, Department or Unit, the Office of the Registrar or University Governance in an instance where the Provost has invoked, or is considering invoking, the Protocol For Urgent Cases of Disruptive, Threatening or Violent Conduct (Section 91);

   b. Intervene in a case concerning Academic Standing in a case being heard, or about to be heard by the GFC AAC in an instance where the Provost has invoked, or is considering invoking, the Protocol For Urgent Cases of Disruptive, Threatening or Violent Conduct (Section 91).

1.5.9 Amendment to the Academic Appeals Policy

Changes to this policy proceed directly to the GFC Executive Committee for approval. Normally, the Appeals Coordinator strikes a small ad hoc committee to review changes first.
1.6 Report to General Faculties Council

The GFC Academic Appeals Committee (GFC AAC) reports annually to GFC, providing a statistical summary of cases and their disposition. The statistical information will be presented in such a way that the confidentiality of individual cases will not be breached. The Appeals Coordinator may also raise with the Executive Committee any policy or procedural issues, and may ask to do so in camera.

For reporting requirements see GFC SCPC Terms of Reference at:
https://www.ualberta.ca/governance/member-zone/gfc-standing-committees
(EXEC 12 FEB 2018)

DEFINITIONS

Definitions listed below apply to this document only with no implied or intended institution-wide use.

1. "Academic Standing" means any matter covered in a Faculty's academic standing regulations as approved by GFC, its Executive or the GFC Academic Standards Committee (ASC) and as published in the Calendar. Academic standing comprises such matters as continuation in a program, promotion, graduation, and the requirement for a student to withdraw. Unless stated otherwise, changes to academic standing regulations affect new students, continuing students, and students readmitted to a program or Faculty. Students should refer annually to the University Calendar for the academic standing regulations governing their degree programs. (EXEC 12 FEB 2018)

2. "Appellant" means a Student appealing a decision of a Faculty affecting Academic Standing at the University.

3. “Advisor” means a person who will assist the Appellant or the Respondent during the appeal process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another Advisor of the Appellant’s or Respondent’s choice. (EXEC 12 FEB 2018)

4. "Chair" means the Chair of the General Faculties Council Academic Appeals Committee selected from the Panel of Chairs.

5. "Committee" or "GFC AAC" means the General Faculties Council Academic Appeals Committee.

   Note: The Committee is a standing committee of General Faculties Council established by General Faculties Council on January 29, 1973 pursuant to Section 26(1), and Section 26(1)(h) of the Post-Secondary Learning Act.

6. "Dean" means the Dean of the Faculty whose decision is being appealed.

7. "Executive Committee" means the Executive Committee of General Faculties Council.

8. "Faculty" means the Faculty whose decision is being appealed and includes the Dean or an administrative officer of the Faculty and the Academic Appeals Committee of such Faculty when that person or body has exercised or is exercising any power of the Faculty with respect to academic standing.
9. “Miscarriage of Justice” means failure on the part of a Faculty to make a decision with respect to academic standing in a fair and equitable manner in the light of the procedures, standards and circumstances applicable in the case of an Appellant.

10. “Panel” means the members constituted from the Panel of Chairs, Panel of Faculty Staff Members and Panel of Students to hear an appeal as set out in these regulations.

11. “Panel Members” means the Panel of Chairs, Panel of Faculty Staff Members and the Panel of Students.

12. “Public Safety” may include, but is not limited to, protection from behaviours of the Student as a result of mental illness, harassment by the Student or other perceived violent or disturbing behaviour by the Student.

13. “Student” means an undergraduate Student or a graduate Student, as defined in the University Calendar. (EXEC 12 FEB 2018)

14. "Respondent" means a person designated by the Dean to represent the Faculty.

15. “UAB” means University Appeal Board.

16. "Working Day" or “Business Day” for the purposes of these regulations is defined as a day on which University administrative offices are open. For the purposes of these regulations, the day preceding the Christmas holiday period shall not be considered a Working Day for appeal deadlines.

Appendix - Procedural Guidelines for GFC AAC Chairs

1. Discussion by GFC AAC members of procedures only (NOT the merits and substance of the case). This discussion should include, but not be limited to:

   a. A review of GFC AAC procedures; (EXEC 12 FEB 2018)
   b. A check to see if there are questions about jurisdiction (see also #2 #3 and #4 below);
   c. A discussion of any procedural issues, if necessary; and
   d. A discussion of the timing for the hearing, including the scheduling of any possible second, or subsequent, session.

2. In the event there is a substantive question as to the jurisdiction of the GFC AAC, or if either party challenges the jurisdiction of the GFC AAC, then the Committee will hear substantive arguments concerning jurisdictional issues from the Appellant and Respondent. The Appellant and Respondent will withdraw once they have completed their presentations concerning jurisdictional issues. The Committee will deliberate and reach a decision.

3. If the Committee determines that the case falls outside its jurisdiction, the decision shall be communicated to the Appeals Coordinator and the parties.

   a. The Chair shall provide a brief written summary of the decision regarding the issue of jurisdiction;
   b. The written decision will normally be provided by the Chair to the Appeals Coordinator within ten (10) Working Days of the hearing;
   c. The Appeals Coordinator will forward copies of the decision in accordance with Section 1.5.6.2.
4. If the Committee determines it has jurisdiction or reserves its decision on the question of jurisdiction pending hearing the merits and substance of the case, the Chair shall communicate the Committee’s decision.

   a. The Committee shall hear the merits and substance of the case with Appellant and Respondent present (see Section 1.5.5 Suggested Hearing Procedures).

5. The Chair may seek the assistance of any member of the Committee in the preparation of the written reasons. The final decision will be signed by the Chair, on behalf of, and with the full authority of, the Committee.

SAMPLE GFC ACADEMIC APPEALS COMMITTEE
HEARING SUMMARY

1. Committee Members in Attendance
   __________________________________________________
   __________________________________________________
   __________________________________________________

2. Hearing Date ________________________________
   Start Time __________________
   Adjournment __________________

3. Appellant ________________________________
   Advisor __________________________

4. Respondent ________________________________
   Advisor __________________________

5. Witnesses ________________________________

6. Decision Being Appealed

7. Nature of the Alleged Miscarriage of Justice

8. Facts Agreed Upon by Both Parties
   Facts in Dispute

9. Summary of All Issues Raised by Both Parties and as Identified by the GFC AAC

10. Committee Decision

11. Remedy (If Applicable)

12. Summary of Reasons for the Committee's Decision

Date ____________ Chair ________________________________
Note from University Governance: The *Post-Secondary Learning Act* gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over “academic affairs” (section 26(1)) and “general supervision of student affairs” (section 31), including authority concerning “student discipline.” GFC has thus established a Code of Student Behaviour, as set out below.

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

The University is defined by tradition as a community of people dedicated to the pursuit of truth and advancement of knowledge, and as a place where there is freedom to teach, freedom to engage in research, freedom to create, freedom to learn, freedom to study, freedom to speak, freedom to associate, freedom to write and to publish. There is a concomitant obligation upon all members of the University community to respect these freedoms when they are exercised by others. For these freedoms to exist, it is essential to maintain an atmosphere in which the safety, the security, and the inherent dignity of each member of the community are recognized.

The enduring value of University life and of Degrees the University confers is also dependent upon the integrity of the teacher-Student learning relationship and upon the honesty and soundness of the evaluation process. Conduct by any member of the University Community that adversely affects this relationship or process must, therefore, be considered a serious offence.

Included in the Code of Student Behaviour are descriptions of unacceptable behaviour for Students in the University, the sanctions for commission of the offences, and explanations of the complete discipline and appeal processes. The definition of “Student” used in this document is a broad definition, one that includes current and former Students (see 30.2 for a definition of “Student”). Other members of the University Community, including Student Groups, are governed by other regulations. (GFC 03 FEB 2014)

The offences listed in the Code of Student Behaviour describe, in general terms, behaviours which if left unchecked would, to an unacceptable degree, infringe upon the freedoms described above and thus threaten the proper functioning of the University. Nothing in this Code shall be interpreted in such a way as to prohibit the activities or to violate the principles that are set out in the first paragraph of this section. Nothing in this Code shall be construed to prohibit peaceful assemblies and demonstrations, or lawful picketing, or to inhibit free speech. Nothing in this Code shall prevent the University from referring an individual matter to the appropriate law enforcement agency, should such action be considered necessary.

In order to protect the integrity of the Degrees conferred by the University, the University may suspend or rescind any Degree awarded to any graduate who, during the application process or while registered in a program or in a particular course in a program, commits an act of academic dishonesty which, if it had been detected before the granting of the Degree, would have resulted in a sanction sufficiently severe that the Degree would not have been granted.

The Code of Student Behaviour shall be followed in all cases of disciplinary action with Students except in situations where disruptive, threatening or violent conduct may inflict great harm to members of the University community or University property. In those cases the Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct (§ 91, General Faculties Council Policy Manual) will be followed before action is taken under the Code.

The Code of Applicant Behaviour provides charges, sanctions and procedures for application-related offences involving Applicants, as defined in section 11.8.3.4 of that Code. When a person registers for classes and has passed the Registration Deadline as published in the University Calendar, that person ceases to be an Applicant. Application-related offenses identified after the
Registration Deadline will be administered under the Code of Student Behaviour. (EXEC 04 MAY 2009) (SCPC 25 JAN 2018)

The Appeals Coordinator, Dean of Students, Office of the Student Ombuds, and Student Legal Services are available on-campus to provide assistance to Students about the discipline process. (SCPC 25 JAN 2018)

30.1.1 Rights under the Code of Student Behaviour

30.1.1(1) Any Student who has been accused of having committed an offence under this Code has the right

30.1.1(1) a to choose whether or not to provide evidence and/or to be a witness in the case against themself;

30.1.1(1) b to be presumed not to have committed an offence until their commission of an offence has been established on the balance of probabilities, before an impartial and unbiased decision-maker;

30.1.1(1) c to have their case adjudicated within a reasonable time;

30.1.1(1) d to consult with an Advisor, to be accompanied and assisted at any investigative meeting with a Dean or Discipline Officer or UAB hearing by an Advisor, and to be advised of these rights;

30.1.1(1) e to reasonable disclosure of the case of the person making the allegation against the Student within a reasonable time before the hearing of any appeal before the UAB;

30.1.1(1) f to reasonable notice of the time, place, and nature of any investigative meeting or hearing;

30.1.1(1) g to be given a reasonable opportunity to respond to any allegations before being found to have committed an offence under the Code;

30.1.1(1) h in any appeal before the UAB, to present evidence, to call their own witnesses and to question any other witnesses called;

30.1.1(1) i to be advised of the reasons for any decision made under this Code;

30.1.1(2) Any person who claims to have been physically injured, discriminated against or harassed, or who claims to have property damaged or stolen by a Student accused of an offence under this Code, whether or not that person is a Complainant, has the right;

30.1.1(2) a to be consulted before any informal resolution of any relevant charges against the Student is proposed to the Student;

30.1.1(2) b to provide evidence of any injury or damage for which Restitution may be an appropriate remedy and to have that evidence communicated to the appropriate decision-maker under this Code;

30.1.1(2) c to be informed of the time, date and place of any hearing respecting any relevant charges and to be consulted by the Dean or Director as to whether the person should be a witness at that hearing; and
30.1.1(2) d to be informed of the sanctions, if any, imposed on the Student in relation to any offence relevant to the person.

30.2 **General Definitions**

Within the *Code of Student Behaviour*, the following words have been specifically defined. They appear in alphabetical order. (GFC 03 FEB 2014)

30.2.1 **Academic File.** The file detailing a Student’s academic progress held in the office of the Faculty in which the Student is enrolled and, for graduate students, in the office of the Department (or in non-departmentalized Faculties, the Faculty) responsible for delivery of the graduate program. (CLRC 24 MAY 2012)

30.2.2 **Academic Staff Member.** An [faculty academic staff](#) member, as defined in the UAPPOL Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff and Colleagues, from Category A with a service component in their contract, i.e. A1.1, A1.6, their counterparts in A1.5 and A1.7 or [Faculty](#) on a post-retirement contract.

30.2.3 **Academic Standing.** “Academic Standing” means any matter covered in a Faculty’s academic standing regulations as approved by GFC, its Executive or the GFC Academic Standards Committee (ASC) and as published in the Calendar. Academic standing comprises such matters as continuation in a program, promotion, graduation, and the requirement for a student to withdraw. Unless stated otherwise, changes to academic standing regulations affect new students, continuing students, and students readmitted to a program or Faculty. Students should refer annually to the Calendar for the academic standing regulations governing their degree programs. *(University Calendar)* (CLRC 24 MAY 2012) (SCPC 25 JAN 2018)

30.2.4 **Advisor.** A person who will assist the Appellant or the Respondent during the disciplinary process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another Advisor as the Appellant or Respondent choose. (SCPC 25 JAN 2018)

30.2.5 **Appellant.** The individual who has appealed a discipline decision.

30.2.6 **Appeals Coordinator.** The person or delegate responsible for administration of the University Appeal Board and related Student discipline procedures. The role of Appeals Coordinator is carried out by the Appeals and Compliance Officer, a position appointed by and reporting to the Head (or delegate) of University Governance. (CLRC 22 NOV 2012)

30.2.7 **Application-Related Offence.** Any offence committed by a person related to the act of applying for admission or readmission to the University of Alberta. (EXEC 04 MAY 2009)

30.2.8 **Central Academic Record.** A continuing record maintained by the Office of the Registrar, where all matters relating to courses, grades, and academic standing and
probation are permanently recorded. Transitory notations, such as service indicators are also noted in the Central Academic Record while they are in effect. (CLRC 24 MAY 2012)

30.2.9 **Class.** A formal period of instruction including, but not limited to: a lecture, a laboratory, a seminar, a tutorial, an examination, or a period of instruction within a field experience or an online course. (CLRC 25 APR 2013)

30.2.10 **Code.** *Code of Student Behaviour.*

30.2.11 **Complainant.** Any person who has reason to believe that a Student has committed an offence and who initiates a procedure under this Code. See 30.5.2.

30.2.12 **Dean.** In cases in which there is an allegation of Inappropriate Academic Behaviour [30.3.2] in a course, “Dean” shall be interpreted as the Dean (or delegate) of the Faculty that offers the course in which that Student is alleged to have committed an Inappropriate Academic Behaviour offence, including a course designated as a capping exercise in a course-based master’s degree program. In all other cases, including but not limited to offences related to programs of study, graduation, or graduate Student theses, “Dean” shall be interpreted as the Dean (or delegate) of the Faculty in which the Student is enrolled. In application-related cases, “Dean” shall be interpreted as the Dean of the Faculty to which the Student has applied. Where a Student has multiple concurrent applications, the Registrar shall recommend a Dean to deal with the case. In cases where the Student is not currently enrolled, the Vice-Provost and Dean of Students shall appoint a Dean to deal with the case. In cases where the Student is enrolled in Open Studies, “Dean” shall be interpreted as the Registrar (or delegate). (CLRC 27 MAY 2004)(EXEC 04 MAY 2009) (CLRC 22 NOV 2012)

30.2.13 **Degree.** Any Degree, diploma or certificate granted or awarded by the University.

30.2.14 **Director of UAPS.** Director of University of Alberta Protective Services or delegate.

30.2.15 **Discipline Officer.** The person responsible for reviewing all charges laid under the Code in which a Unit Director recommends an Intermediate or Severe Sanction, a Dean recommends a Severe Sanction or the Director of UAPS recommends a sanction [30.4.3]. (CLRC 24 MAY 2012)

30.2.16 **Discipline File.** The file containing the disciplinary proceedings undertaken in relation to a Student, including but not limited to, the charges laid, the evidence collected, and the findings of the decision-maker. Discipline Files are held by Faculties, Unit Directors, University of Alberta Protective Services, Student Conduct and Accountability, and University Governance as provided for this Code. Discipline Files held by Faculty and Department offices must be kept separate from Academic Files, but in cases where a Student has been found to have committed an offence of Inappropriate Academic Behaviour, a copy of the final decision may be
kept with the Student’s Academic File.  (CLRC 24 MAY 2012) (CLRC 03 FEB 2016)

30.2.16(1) All Discipline Files are confidential, and the only persons having access to such records will be those directly concerned with the action, decided as follows:

- Faculties: The Dean shall determine access to Discipline Files held in the Faculty. (CLRC 24 MAY 2012)
- University of Alberta Protective Services: The Director shall determine access to Discipline Files held by University of Alberta Protective Services. (CLRC 24 MAY 2012)
- Units: The Director shall determine access to Discipline Files held by the unit. (CLRC 24 MAY 2012)
- Discipline Officer: The Discipline Officer shall determine access to Discipline Files. (CLRC 24 MAY 2012)
- University Governance: The Head (or delegate) of University Governance shall determine access to Discipline Files held by University Governance. (CLRC 24 MAY 2012)
- The Provost or delegate shall:

1. Have access to all student records including the Academic File and any Discipline File held by a Faculty, Department or unit, Student Conduct and Accountability, the Office of the Registrar or University Governance in an instance where the Provost has invoked, or is considering invoking, the Protocol For Urgent Cases of Disruptive, Threatening or Violent Conduct (Section 91); (EXEC 03 MAY 2004) (BHRCC 05 MAY 2004) (CLRC 24 MAY 2012) (CLRC 03 FEB 2016)

2. Intervene in a case concerning the Code in a case being heard, already heard, or about to be heard by the UAB or the GFC PRB in an instance where the Provost has invoked, or is considering invoking, the Protocol For Urgent Cases of Disruptive, Threatening or Violent Conduct (Section 91). (EXEC 03 MAY 2004) (BHRCC 05 MAY 2004) (SCPC 25 JAN 2018)

30.2.17 Facilities. The term “Facilities” includes but is not limited to buildings, parking lots, athletic fields, campus buildings, and campus areas.


30.2.19 GFC. General Faculties Council.

30.2.20 GFC PRB. General Faculties Council Practice Review Board as prescribed within the Practicum Intervention Policy. (SCPC 25 JAN 2018)

30.2.21 Graduate Coordinator. The graduate coordinator is the tenured or tenure-track professor designated by a department (or Faculty if non-departmentalized) as the official representative of the department (or Faculty) to the students enrolled in that department's (or Faculty's) graduate program. Graduate coordinators are known by various designations, including Director, Associate Chair (Graduate Studies), and Associate Dean (Graduate Studies). (CLRC 24 MAY 2012)
30.2.22 **Instructor.** The term “Instructor” includes the person charged with the responsibility for conducting a Class, the person charged with the responsibility for supervising or evaluating a capping exercise, thesis or research project, or the person charged with the responsibility of supervising a Student’s work conducted in a laboratory. (CLRC 24 MAY 2012)

30.2.23 **Malicious Code.** Software that has been written specifically to do something unexpected (usually, but not always, undesirable or destructive) to another user's computer and/or data.

30.2.24 **Negative Service Indicator.** A transitory notation that can be placed on a student’s Central Academic Record during the period it is in effect. Service indicators assist staff in the provision or restriction of services but do not appear on a Transcript. Negative Service Indicators can be used for financial, disciplinary or other extraordinary matters. Examples include but are not limited to: parking fines, library fines, disciplinary fines, orders of restitution, suspension, and exclusions. (CLRC 24 MAY 2012)

30.2.25 **Office of the Student Ombuds.** Ombuds services for undergraduate and graduate Students. (SCPC 25 JAN 2018)

30.2.26 **Panel.** The UAB members constituted from the Panel of Chairs and Panel of Students to hear an appeal as set in these regulations. (CLRC 24 MAY 2012)

30.2.27 **Practicum Placement.** Any placement (volunteer or otherwise) which is part of a Student's academic program and which places or may place the Student in contact with the public. Practicum Placements include, but are not limited to, hospital rotations or other clinical placements in the disciplines of medicine, dentistry, pharmacy, nursing, and rehabilitation medicine, education placements in schools, and placements in co-operative work settings.

30.2.28 **Professional Code of Ethics.** All provincial and federal Codes of Ethics or Codes of Conduct governing the relevant profession and the practice of its discipline.

30.2.29 **Professional Programs.** Academic programs that prepare Students for vocations where the right to practice is dependent on membership in a specialist occupational organization. Examples include but are not limited to dentists, dental hygienists, lawyers, medical laboratory technicians, nurses, occupational therapists, pharmacists, physicians, physical therapists, speech language pathologists, and teachers.

30.2.30 **Registrar.** The University Official invested with custody of Students’ Central Academic Records.

30.2.31 **Respondent.** The person(s) who replies to an appeal.

30.2.32 **Student(s).** A person who is or has been registered as a Student at the University whether or not for credit and includes current Undergraduate and Graduate Students, former Students, and graduates who have received a Degree, diploma or certificate.
from the University. (BG 12 MAY 2006) (GFC 03 FEB 2014)

30.2.33 **Transcript.** A Student’s official academic record issued by the Office of the Registrar and bearing the signature of the Registrar. Information for the Transcript is drawn from the Central Academic Record. Information included on the University of Alberta transcript is found in the *University Calendar*. (CLRC 24 MAY 2012) (SCPC 25 JAN 2018)

30.2.34 **UAB.** University Appeal Board as prescribed within the Code of Student Behaviour. (SCPC 25 JAN 2018)

30.2.35 **Unit Director.** The director or delegate of specific University services or resources including but not limited to Ancillary Services, Academic Information and Communication Technologies, University Libraries, University Recreational Facilities, and the University Bookstore. (CLRC 03 MAR 2005)

30.2.36 **University Activities.** “University Activities” include but are not limited to, teaching, research, studying, administration, meetings, and public service.

30.2.37 **University Community.** “University Community” includes those who are employed by the University, who are officially associated with the University, and those who are Students, former Students, or alumni of the University.

30.2.38 **University Officials.** “University Officials” are those individuals who in the ordinary course of their duties have the authority to limit access to University Facilities and/or property and include but are not limited to Deans, Department Chairs, Unit Directors, Discipline and Deputy Discipline Officers, Instructors, members of University of Alberta Protective Services, Ancillary Services staff, and Building Services staff. (CLRC 03 MAR 2005)

30.2.39 **University-related Functions.** “University-related Functions” include, but are not limited to activities occurring in the course of work or study assignments inside or outside the University; at work or study-related conferences or training sessions; during work or study-related travel; during events such as public lectures, performances, social or sports activities; or over the telephone or computer.

30.2.40 **University Supplies and Documents.** “University Supplies and Documents” include but are not limited to equipment, keys, records, insignias, stationery, forms and permits.

30.2.41 **Working Day or Business Day.** “Working Day” or “Business Day” is defined as a day on which University administrative offices are open. For the purposes of these regulations, the day preceding the Christmas holiday period shall not be considered a Working Day for appeal deadlines. (CLRC 24 MAY 2012)
30.3 Offences under the Code

30.3.1 Application

30.3.1(1) This Code applies to all conduct by a Student or by Students, by any means whatsoever, (including but not limited to internet forums, electronic communications or other media) that has a real and substantial link to the University, University Activities, the University Community, or University-related Functions, whether or not the conduct occurred on or in relation to University property. (CLRC 22 MAR 2012)

30.3.1(2) The determination of whether any conduct does have such a real and substantial link may be made by any person or body authorized to make decisions in the disciplinary and appeal processes set out in this Code, and this determination may be appealed as part of an appeal provided for by this Code.

30.3.1(3) All Students living in or attending at a University residence are subject to the Code, as well as to the rules, regulations and community standards of that residence and regulations in force including any amendments posted at the business office of the residence or in the areas affected. The authority given to the Director of Residence Services or delegate under 30.5.5 is not intended to supersede or undermine the authority of the University as landlord or the restorative processes under the Residence Community Standards. (CLRC 27 MAY 2004) (CLRC 24 NOV 2011)

30.3.1(4) All persons owning, operating or parking vehicles on University property are subject to the current Traffic and Parking Regulations of the University of Alberta. Information about Traffic and Parking Regulations in force, including any amendments, may be secured from Parking Services. Fines and sanctions specific to all parking violations are administered by Parking Services and may be appealed through the Parking Appeals Officer.

30.3.1(5) All Students are subject to the regulations of the University Libraries that are available in all Libraries. Fines and sanctions specific to library use are administered by the University Libraries and may be appealed at the circulation desk in the Library in which the material in question is located.

30.3.1(6) All Students are subject to the regulations of Academic Information and Communication Technologies that are available from Academic Information and Communication Technologies. Fines and sanctions specific to computing and internet use are administered by Academic Information and Communication Technologies and may be appealed through the Director of Academic Information and Communication Technologies.
30.3.2 Inappropriate Academic Behaviour

30.3.2(1) Plagiarism

No Student shall submit the words, ideas, images or data of another person as the Student’s own in any academic writing, essay, thesis, project, assignment, presentation or poster in a course or program of study.

30.3.2(2) Cheating

30.3.2(2) a No Student shall in the course of an examination or other similar activity, obtain or attempt to obtain information from another Student or other unauthorized source, give or attempt to give information to another Student, or use, attempt to use or possess for the purposes of use any unauthorized material.

30.3.2(2) b No Student shall represent or attempt to represent themself as another nor shall a Student attempt to have themself represented by another in the taking of an examination, preparation of a paper or other similar activity. See also misrepresentation in 30.3.6(4).

30.3.2(2) c No Student shall represent another’s substantial editorial or compositional assistance on an assignment as the Student’s own work.

30.3.2(2) d No Student shall submit in any course or program of study, without the written approval of the course Instructor, all or a substantial portion of any academic writing, essay, thesis, research report, project, assignment, presentation or poster for which credit has previously been obtained by the Student or which has been or is being submitted by the Student in another course or program of study in the University or elsewhere.

30.3.2(2) e No Student shall submit in any course or program of study any academic writing, essay, thesis, report, project, assignment, presentation or poster containing a statement of fact known by the Student to be false or a reference to a source the Student knows to contain fabricated claims (unless acknowledged by the Student), or a fabricated reference to a source.

30.3.2(3) Misuse of Confidential Materials

No Student shall procure, distribute, or receive any confidential academic material such as pending examinations, laboratory results or the contents thereof from any source without prior and express consent of the Instructor.

30.3.2(4) Research and Scholarship Misconduct

30.3.2(4) a No Student shall violate the University of Alberta Research and Scholarship Integrity Policy, as set out in the Research and Scholarship Integrity Policy in UAPPOL or any other University regulation concerning academic matters. (CLRC 24 MAY 2012)

30.3.2(4) b Where a Student is charged with the academic offence of research and scholarship misconduct, the procedure to follow is that outlined below. (CLRC 24 MAY 2012) (EXEC 12 NOV 2014)
30.3.3 Inappropriate Behaviour in Professional Programs

30.3.3(1) A Student enrolled in Professional Programs is bound by and shall comply with the Professional Code of Ethics governing that profession and the practice of its discipline.

30.3.3(2) It shall be the responsibility of each student in a Professional Program to obtain, and be familiar with, the Professional Code of Ethics relevant to the discipline and all amendments thereto as may be made from time to time. (BG 12 MAY 2008)

30.3.3(3) A Student enrolled in a Professional Program who contravenes the Professional Code of Ethics governing the profession and the practice of its discipline commits an offence under this Code when, at the time of the alleged offence, the Student is involved in a Practicum Placement related to a course of study in a Professional Program. (BG 12 MAY 2008)

30.3.3(4) The following behaviour by any Student in a Practicum Placement is unprofessional conduct, and an offence under this Code:

30.3.3(4) a all attempts at deliberately falsifying patient, pupil or client records including forging Instructor signatures;
30.3.3(4) b falsifying financial records related to patient treatment procedures or client services;
30.3.3(4) c misrepresenting patient treatment, instructional activities or client services to officials of the practicum site or to third parties, such as insurance carriers;
30.3.3(4) d careless or negligent behaviour resulting in unnecessary physical and/or mental harm to patients, pupils or clients;
30.3.3(4) e obtaining or attempting to obtain favours, gifts, payments, pharmaceuticals or other consideration from patients, pupils, clients or third parties;
30.3.3(4) f representing one's education, qualifications or competence in a way that is false or misleading.
30.3.3(4) g operating outside of scope of practice. (BG 12 MAY 2008)

30.3.3(5) When proceedings have been initiated against a Student under this Code and separate proceedings are commenced against the same Student relating to the same cause or matter under a Professional Code of Ethics, the Dean may stay proceedings under this Code pending the outcome of the proceedings brought pursuant to the Professional Code of Ethics.

30.3.3(6) Appeals of Code decisions concerning unprofessional conduct or contraventions of Professional Codes of Ethics that would otherwise be heard by the UAB shall instead be heard by a General Faculties Council Practice Review Board (GFC PRB) as constituted under the Practicum Intervention Policy. (BG 12 MAY 2008) (SCPC 25 JAN 2018)
30.3.3(7) In hearing appeals as provided for in the Code, the GFC PRB shall have all of the powers of the UAB and shall follow the same procedures of the UAB as provided for in this Code. (BG 12 MAY 2008) (SCPC 25 JAN 2018)

30.3.3(8) Any appeals of Code charges that accompanied a Practicum Intervention under the Practicum Intervention Policy shall be stayed and held in abeyance as may be necessary in order that the appeals can be conjoined and be heard and determined at the same time by the GFC PRB. (BG 12 MAY 2008) (SCPC 25 JAN 2018)

30.3.4 Inappropriate Behaviour towards Individuals or Groups

30.3.4(1) Disruption
30.3.4(1) a No Student shall disrupt a Class in such a way that interferes with the normal process of the session or the learning of other Students.
30.3.4(1) b No Student shall, by action, words, written material, or by any means whatsoever, obstruct University Activities or University-related Functions.
30.3.4(1) c No Student shall use words that incite others to behaviour that is inappropriate to members of the University Community, whether or not in connection with a demonstration, rally or picketing.

30.3.4(2) Discrimination
30.3.4(2) a No Student shall discriminate against any person or group of persons while participating in University Activities or University-related Functions. Discrimination is defined in the Discrimination, Harassment and Duty to Accommodate Policy in UAPPOL. (CLRC 25 APR 2013)

30.3.4(3) Dissemination of Malicious Material
No Student shall disseminate or cause to be disseminated malicious or defamatory material or engage in activity which creates a social or academic climate that hinders or prevents the full participation of another person or group in the life of the University.

30.3.4(4) Retaliation
No Student shall retaliate against any Complainant who has reported the Student for an offence under the Code or against any other person who has provided information served as a witness or acted in an official capacity in the discipline process. (EXEC 7 JAN 2008)

30.3.4(5) Unfounded Allegations
No Student shall make any complaint against any other member of the University Community or cause any steps to be taken concerning any other member of the University Community unless the Student believes, on reasonable grounds, that the
other member of the University Community has committed an offence under this Code or engaged in conduct warranting a complaint.

30.3.4(6) **Violations of Safety or Dignity**

30.3.4(6) a No Student shall have sexual or physical contact with another person without that person’s consent.

30.3.4(6) b No Student shall physically abuse another person, threaten any other person with physical abuse or cause any other person to fear physical abuse.

30.3.4(6) c No Student shall create a condition which endangers or potentially endangers or threatens the health, safety or well being of other persons.

30.3.4(6) d No Student shall harass another person. Harassment is defined in the Discrimination, Harassment and Duty to Accommodate Policy in UAPPOL, and includes Bullying, Sexual Harassment and Racial Harassment. (CLRC 25 APR 2013) (SCPC 25 JAN 2018)

https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=110

30.3.4(6) e No Student shall use words which threaten violence or physical abuse to any group or individual whether or not the group or individual thus threatened knows of such threatening words and whether or not the words are employed in connection with a demonstration, rally or picketing.

30.3.4(6) f No Student shall possess any weapon, unless authorized by UofA Protective Services

A weapon is:

a) a firearm, ammunition, air gun, explosive device or their replicas;

b) other items prohibited by law in Canada or their replicas (examples include but are not limited to: brass knuckles, pepper spray, switchblade knives, butterfly knives, nunchucks). (BG 08 MAY 2020)

30.3.4(7) **Hazing**

30.3.4(7) a No Student shall organize, participate or engage in the hazing of another person, regardless of whether the individual who is the subject of the hazing has consented to participate in or be subjected to the activities in question, or whether the activities in question constitute a ritual or tradition of an organization. (EXEC 02 APR 2012)

30.3.4(7) b “Hazing” means the creation of an environment or any intentional, reckless or negligent act, by a Student, that occurs on or off University property, that

i. endangers the physical health, mental health or safety of another person; or

ii. produces physical or mental discomfort, embarrassment, humiliation, harassment, or ridicule; or
iii. results in the destruction, damage or removal of any public or private property; or
iv. causes, induces, pressures, coerces, or requires another person to violate any federal, provincial, municipal or University regulations;

for purposes that include, but are not limited to, initial or continued admission, affiliation or initiation with any Student Group, athletic team, or any formal or informal organization in the University Community. Examples of hazing include, but are not limited to: any brutality of a physical nature, such as whipping, beating, branding, paddling, or electric shocks, exercise not legitimately related to a sport, forced consumption of alcohol or other substances, inappropriate exposure to the elements, compulsory nudity or immodest dress, transportation and abandonment, threats or implied threats, verbal abuse, physical or psychological abuse, sleep deprivation, physical confinement, coerced hazing of another, compulsory servitude, degrading activities, sexual simulation, sexual assault, or theft or misuse of others’ property. (EXEC 02 APR 2012)

30.3.5 Inappropriate Use of University Property and Resources

30.3.5(1) Damage to Property

30.3.5(1) a No Student shall possess, misappropriate, convert, destroy or otherwise damage University property or the property of any other member of the University Community.

30.3.5(1) b No Student shall deface the inside or outside of any building or property of the University.

30.3.5(1) c No Student shall, without authority, make, alter, use, receive, or possess University supplies or documents.

30.3.5(1) d No Student shall remove books or other library material from a University library without proper authorization, mutilate or deface library books or material, purposely misplace them or in any other way purposely deprive other members of the University Community of the opportunity to have access to library resources.

30.3.5(2) Unauthorized Use of Facilities, Equipment, Materials, Services or Resources

30.3.5(2) a No Student shall use any facility, equipment, material, service or resource contrary to express instructions or without proper authority. (GFC 03 FEB 2014)

30.3.5(2) b No Student shall enter or remain in any University building, facility, room, or office, without the proper authority, contrary to express instructions or with intent to damage, destroy, convert or misappropriate University property.

30.3.5(2) c No Student shall obtain any University equipment, material, service or resource by fraudulent means or by providing false information.
30.3.5(2) d  No Student shall use any University computer or computer related facility without proper authorization or in contravention of the conditions for use of University computer or computer related Facilities.

30.3.5(2) e  No Student shall introduce any Malicious Code on any University computer or use any University computer to develop, modify, mutate, disseminate, propagate or release any Malicious Code.

30.3.6  Other Offences

30.3.6(1)  Alcohol Provision and Consumption

30.3.6(1) a  No Student shall consume or serve alcohol on University property other than in licensed premises, at a University function with a valid permit issued by Ancillary Services or in accordance with regulations pertaining to University residences.

30.3.6(1) b  No Student shall violate the regulations regarding alcohol use set forth in the UAPPOL Alcohol Policy. (GFC 03 FEB 2014)

30.3.6(1) c  No Student shall violate Alberta’s Gaming, Liquor and Cannabis Regulation regarding the use of alcohol on campus. These regulations must be posted at any function serving alcohol on campus. (SCPC 25 JAN 2018)(SCPC 11 APR 2019)

30.3.6(2)  Breach of Rules External to the Code

30.3.6(2) a  No Student shall engage in conduct that violates any municipal by-law, Provincial or Federal statute or regulation, or University regulation (Rules External to the Code). Conduct that breaches Rules External to the Code shall be deemed to be an offence under this Code and shall be subject to the disciplinary and appeal processes set out in this Code, if the conduct has a real and substantial link to the University, University Activities, the University Community, or University-related Functions, whether or not the conduct occurred on or in relation to University property.

30.3.6(2) b  The determination of whether any conduct has such a real and substantial link may be made by any person or body authorized to make decisions in the disciplinary and appeal processes set out in this Code, and this determination may be appealed as part of an appeal provided for by this Code.

30.3.6(2) c  The determination of whether a Student has breached Rules External to the Code may be made by any decision-maker under this Code, and this determination may be appealed as part of an appeal provided for by this Code.

30.3.6(2) d  The determination referred to in 30.3.6(2) c shall be made in accordance with the rules of evidence and the burdens of proof specified in this Code. If, however, a person, court, tribunal, or other decision-making body with
jurisdiction over an alleged Breach of Rules External to the Code has ruled that the Student did or did not commit a violation,

30.3.6(2) d.i evidence of that ruling, in any form satisfactory to the decision-maker, may be introduced as evidence that the Student did or did not (as the case may be) commit an offence for the purposes of this Code; and

30.3.6(2) d ii the decision-maker shall accord such weight to the evidence of the ruling as the decision-maker considers appropriate in the circumstances.

30.3.6(2) e A Student who has been found to have committed an offence may receive a sanction under both the Code and Rules External to the Code.

30.3.6(3) Identification
No Student shall refuse to provide identification upon request by a University Official or employee acting in the course of that person's duties, provided the University Official or employee has reason to believe the Student is committing, has committed or is about to commit an offence.

30.3.6(4) Misrepresentation of Facts
No Student shall misrepresent pertinent facts to any member of the University community for the purpose of obtaining academic or other advantage. This includes such acts as the failure to provide pertinent information on an application for admission or the altering of an educational document/transcript. (EXEC 04 MAY 2009)

30.3.6(5) Participation in an Offence
No Student shall counsel or encourage or knowingly aid or assist, directly or indirectly, another person in the commission of any offence under this Code.

30.3.6(6) Smoking
No Student shall smoke at any time in any area of the University where smoking is banned. (CLRC 25 APR 2013)

30.3.6(7) Bribery
No Student shall offer or provide a monetary or other benefit to any member of the University for the purpose of gaining academic or other advantage. (GFC 24 SEP 2007)

30.4 Sanctions and their Impact

30.4.1 General Provisions
Different members of the University have the authority to decide that a Student has breached the Code and to set a sanction. Unit Directors may impose Minor Sanctions for specific breaches that occur within their unit and may recommend that the
Discipline Officer impose Intermediate or Severe Sanctions. The Director of UAPS may recommend that the Discipline Officer impose Minor, Intermediate or Severe Sanctions. Deans have the authority to set Minor or Intermediate Sanctions and may recommend that the Discipline Officer impose Severe Sanctions. The Discipline Officer and the UAB have the authority to set Minor, Intermediate, or Severe Sanctions.

30.4.1(1) In determining both the length and/or the effective date of a sanction, a decision-maker imposing the sanction shall take into account the impact of the sanction on the Student's academic program and record.

30.4.1(2) Any sanction shall take effect on the date of the decision unless it is noted in the decision that the sanction shall take effect at another time. Any change to a sanction as a result of an appeal (the removal of, increase in or addition to a sanction) shall take effect according to specified instructions in the written appeal decision. (CLRC 24 MAY 2012)

30.4.1(3) The Office of the Registrar shall note Encumbrances, grade changes (including notations of NC) Suspensions, Expulsions, or Rescissions of Degrees on a Student’s Transcript. Encumbrances, Exclusions and Suspensions of Essential and Non-Essential Services will be noted as a Negative Service Indicator in the Student’s Central Academic Record. For tracking purposes, any sanction noted on the Transcript will also be noted as a Negative Service Indicator in the Student’s Central Academic Record. (CLRC 24 MAY 2012) (GFC 03 FEB 2014)

30.4.1(4) At the decision maker’s discretion, the decision maker may disclose decisions under this Code, or portions thereof, on a need to know basis, for the purpose of administering a Student's academic or other program. (CLRC 24 MAY 2012)

30.4.1(5) If a Student has engaged in conduct for which the Student has received a sanction by a person, court, tribunal or other decision making body pursuant to Rules External to the Code (including but not limited to University of Alberta Library, Parking or Residence Regulations), and the conduct is found to be an offence under this Code then the Student may receive a sanction under this Code, in addition to the sanction imposed pursuant to the Breach of Rules External to the Code [30.3.6(2)].

30.4.2 Types of Sanctions

30.4.2(1) Deleted (CLRC 22 NOV 2007) (SCPC 25 JAN 2018)

30.4.2(2) Conduct Probation

30.4.2(2) a “Conduct Probation” is an order that a Student comply with prescribed conditions for a specified time, not to exceed the duration of the Student’s degree program. (CLRC 24 MAY 2012)

30.4.2(2) b The conditions that may be prescribed in Conduct Probation include the following:
30.4.2(2) b.i not to commit any further offences during the term of Conduct Probation;
30.4.2(2) b.ii to report at specified periods to a specified University Official;
30.4.2(2) b.iii to abstain from the consumption of alcohol, drugs (except in accordance with a medical prescription), or other intoxicating substances while on University property;
30.4.2(2) b.iv to perform up to 100 hours of Community Service over a period not exceeding 12 months;
30.4.2(2) b.v to prepare a paper or essay on a topic relevant to the offence that the Student was found to have committed;
30.4.2(2) b.vi to write a letter of apology;
30.4.2(2) b.vii to refrain from contact with an identified person or persons;
30.4.2(2) b.viii to refrain from being at or being within a specified distance from a specified place or person on University property; and/or
30.4.2(2) b.ix such other reasonable conditions considered desirable for protecting the University Community, for encouraging the Student to take responsibility for the Offence, for rehabilitating the Student, and for ensuring that the Student provides reparation for harm done to the University Community, to University property or the property of others.

30.4.2(2) c An order of Conduct Probation shall specify whether the Dean, Director of UAPS or Discipline Officer has the responsibility to ensure that the terms of the Conduct Probation are performed and to certify, when and as necessary, that the terms of the Conduct Probation have been met to a reasonable standard of performance or have been breached.

30.4.2(2) d An order of Conduct Probation shall specify a sanction to be imposed should the Student breach the conditions of Conduct Probation.

30.4.2(2) e The sanction of Conduct Probation and particulars relating thereto shall be kept in the Discipline File of the office of the Dean of the Faculty in which the offence occurred or the Discipline Officer, whichever one will be monitoring the order of Conduct Probation. In the case of Conduct Probation imposed by the University Appeal Board, the sanction and particulars thereto shall also be kept in the Discipline File held by University Governance. (CLRC 24 MAY 2012) (GFC 03 FEB 2014)

30.4.2(2) f In the case of an order of Conduct Probation resulting from a charge of Inappropriate Academic Behaviour, Misrepresentation of Facts, Participation in an Offence or Bribery related to Inappropriate Academic Behaviour, or where the offence has a significant connection to the Student’s academic program, the Dean, Discipline Officer or UAB may direct the Office of the Registrar to place a notation on the Student’s Transcript indicating “Inappropriate Academic Behaviour.” The notation may remain on the Transcript for a period not to exceed the duration of the Student’s degree program. (CLRC 24 MAY 2012)
Any new offence that constitutes a breach of the prescribed conditions of Conduct Probation during the defined period may lead to additional charges under this Code.

30.4.2(3) **Encumbrance**

30.4.2(3) a An “Encumbrance” is a notation by the Registrar in the form of a Negative Service Indicator on a Student’s Central Academic Record that results in the withholding of Student grades or other indicators of academic attainment, withholding of transcripts, denial or termination of registration until the Registrar is provided with: (CLRC 24 MAY 2012)

30.4.2(3) a.i proof that a specified Fine has been paid to Financial Services or that arrangements satisfactory to the University have been made to do so; or

30.4.2(3) a.ii proof that Restitution has been made to the satisfaction of the University of Alberta.

(SCPC 25 JAN 2018)

30.4.2(4) **Exclusion**

30.4.2(4) a “Exclusion” prohibits or restricts the Student's presence on campus and participation in any Class, University activity or Student affair for either a specified time or for an indefinite period of time. A Student may be excluded from all or a specified part of the University.

30.4.2(4) b In cases of Exclusion when a specified time period for the Exclusion is noted, then the Exclusion shall appear as a Negative Service Indicator on the Student’s Central Academic record until the period of Exclusion has expired. (CLRC 24 MAY 2012)

30.4.2(4) c In the case of Exclusion when no time limit is indicated, an entry shall appear as a Negative Service Indicator on the Student’s Central Academic Record indefinitely or until such time as the Student has met any conditions set for return to the University. (CLRC 24 MAY 2012)

30.4.2(4) d In all cases of Exclusion, the notation will include a description of the areas of the University from which the Student is barred (all of the University or specified areas).

30.4.2(4) e A Student shall receive credit for any course passed before the effective date of the Exclusion.

30.4.2(4) f Withdrawals resulting from a decision of Exclusion will show as grades of "W" on the Transcript and will remain part of the Central Academic Record. (CLRC 24 MAY 2012)

30.4.2(4) g If a Student is Excluded from the University the fee refund dates outlined in the *University Calendar* shall apply. (SCPC 25 JAN 2018)
30.4.2(5) Expulsion

30.4.2(5) a “Expulsion” requires a Student to withdraw completely from the University for an indefinite period of time. The Student shall not be permitted to return without the approval in writing of the Provost and Vice-President (Academic) in consultation with the Faculty from which the Student was expelled. Such approval shall not be given before the expiry of four years.

30.4.2(5) b Any course work completed at any institution during the period of Expulsion will not be accepted as credit towards a Student’s Degree, or for admission to a Degree program, or other certification at the University of Alberta.

30.4.2(5) c Expulsion shall be noted in the Student’s Academic File in the Faculty in which a Student is registered, as a Negative Service Indicator in the Student’s Central Academic Record and on the Student’s Transcript in perpetuity or until such time as the Student is readmitted to the University. (CLRC 24 MAY 2012)

30.4.2(5) d A Student shall receive credit for any course passed before the effective date of the Expulsion.

30.4.2(5) e Withdrawals resulting from a decision of Expulsion will show as grades of "W" on the Student’s Transcript and will remain part of the Student's Central Academic Record. (CLRC 24 MAY 2012)

30.4.2(5) f A Student is deemed to have withdrawn from all courses as of the date of Expulsion; the fee refund dates outlined in the University Calendar shall apply. (CLRC 26 SEP 2002) (SCPC 25 JAN 2018)

30.4.2(6) Fine

30.4.2(6) a A “Fine” means an order for payment of a specified sum by the Student to Financial Services. Funds from Fines shall be used for Student bursaries.

30.4.2(6) b If the Student and the University agree, a Fine may be paid in whole or in part by the provision of services by the Student to the University. The nature of the services shall be agreed upon by the University and the Student. Calculation of the value of the services shall be in accordance with the rate normally paid for persons who ordinarily perform the service.

30.4.2(6) c The Student’s Central Academic Record is encumbered until the amount is paid in full. (CLRC 24 MAY 2012) (GFC 03 FEB 2014)

30.4.2(7) Grade Reduction, Grade of F or NC in a course (CLRC 27 MAR 2003)

30.4.2(7) a Marks for an assignment(s) or the grade for a course may be reduced as a sanction for Inappropriate Academic Behaviour. The final grade may or may not be accompanied by a remark, indicating Inappropriate Academic Behaviour. The Student’s grade in the course or grade point average may, as a consequence, be substantially reduced. (CLRC 27 MAR 2003)
A grade of F for graded courses or NC for non-graded courses may be assigned as a sanction for Inappropriate Academic Behaviour. The grade may or may not be accompanied by a remark, indicating Inappropriate Academic Behaviour. (CLRC 27 MAR 2003) (CLRC 24 MAY 2012)

Grade reductions and a grade of F resulting from discipline decisions shall be calculated into the Student's GPA. Mark reductions, reductions in final course grades and a grade of F may result in a Student being required to withdraw from their program. (CLRC 27 MAR 2003)

The remark on a transcript of 8 (or 9 for failing graduate student grades), indicating Inappropriate Academic Behaviour, shall remain on the Student’s Transcript for a period of 2 years from the end date of the term for the relevant course. After that time, the remark of 8 or 9 is removed. (CLRC 27 MAR 2003) (CLRC 25 NOV 2004) (CLRC 24 MAY 2012) (SCPC 25 JAN 2018)

Any documentation relating to grade changes resulting from a sanction under this Code may be retained in the Academic File. (CLRC 24 MAY 2012)

Refusal to Consider Applications (EXEC 04 MAY 2009)

Refusal to consider applications for admission to the University for up to 5 years.

Where a sanction of refusal to consider applications has been imposed, such refusal shall be noted as a Negative Service Indicator on the Student’s Central Academic Record until the sanction expires. (CLRC 24 MAY 2012)

Permanent refusal to consider applications for admission to the University of Alberta.

Where a sanction of permanent refusal to consider applications has been imposed, the Student shall not be considered for admission without the approval in writing of the Provost and Vice-President (Academic) in consultation with the Registrar. Such approval shall not be given before the expiry of five years.

The sanctions related to refusal to consider applications for admission to the University of Alberta may only be imposed for application-related offences.

Rescission of Admission Offer

Rescission of any current offer of admission received by the Applicant, whether conditional or final, and cancellation of any registration.

This sanction may only be imposed for application-related offences.

“Rescission of a Degree” means that the original award of a Degree will be perpetually deleted from the Student’s Central Academic Record. The Student’s
Transcript will indicate that the Degree has been rescinded. (CLRC 24 MAY 2012)

30.4.2(10) b The Discipline Officer may recommend to the Provost and Vice-President (Academic) that the University publish notification of the Rescission of the Degree. In the case of a professional Degree, this would include notification to the appropriate professional body. The Vice-President's decision to act on this recommendation shall be deferred until an appeal is heard and decided.

30.4.2(11) Reprimand

30.4.2(11) a A “Reprimand” is a notation of concern about the conduct of a Student.

30.4.2(11) b The Reprimand is noted in the Discipline File held by the Faculty in which a Student is registered and by the Faculty that charged the Student. (CLRC 24 MAY 2012) (GFC 03 FEB 2014)

30.4.2(12) Restitution

30.4.2(12) a “Restitution” is an order that a Student pays money

30.4.2(12) a.i to one or more of another individual, a corporation, an unincorporated association or other unincorporated group, or the University, as Restitution for damage to or the loss or destruction of any property as the result of the commission of an offence by the Student. The amount of Restitution shall not exceed the replacement cost of the property as of the date that the order is imposed, less the value of any part of the property that has been returned; and/or

30.4.2(12) a.ii to an individual who has suffered bodily harm as a result of the commission of an offence by the Student, as Restitution for all expenses or loss of income suffered as a result of the offence. Restitution is not payable as compensation for pain and suffering.

30.4.2(12) b Restitution shall not be ordered unless evidence has been adduced that supports the calculation of the cost of the damage or injury caused by the commission of the offence by the Student.

30.4.2(12) c The Student’s Central Academic Record is Encumbered until the amount is paid in full. (CLRC 24 MAY 2012) (GFC 03 FEB 2014)

30.4.2(12) d The Dean or Discipline Officer who imposed the sanction shall make the determination of when the amount owing in Restitution has been paid in full.

30.4.2(13) Suspension

30.4.2(13) a “Suspension” requires a Student to withdraw completely from the University, their program in the University, and from all University Activities for a specified period of time, to a maximum of three years.

30.4.2(13) b Suspension shall be noted on the Student’s Central Academic Record, on the Student’s Transcript, and in the Student’s Academic File held by the faculty in which the Student is enrolled during the period of the Suspension. At the
discretion of the Discipline Officer or the UAB, the suspension may be noted on the Transcript for a further period of up to three years after the end of the suspension. (GFC 24 SEP 2007) (CLRC 24 MAY 2012)

30.4.2(13) c A Student shall receive credit for any course passed before the effective date of the Suspension.

30.4.2(13) d Withdrawals resulting from a decision of Suspension will show as grades of "W" on the Student’s Transcript and will remain part of the Central Academic Record. (CLRC 24 MAY 2012)

30.4.2(13) e A student is deemed to have withdrawn from all courses as of the date of a Suspension; the fee refund dates outlined in the University Calendar shall apply. (CLRC 30 MAY 2002) (SCPC 25 JAN 2018)

30.4.2(13) f.i Upon expiry of a Suspension of less than 12 months the Student will be permitted to re-enroll in the program from which the Student was suspended provided the Student has not been required to withdraw in accord with the Faculty's published Academic Standing regulations. (CLRC 06 JUN 2013)

30.4.2(13) f.ii If the Suspension is for 12 months or more, the Student must apply for readmission to the University. Students should refer to the University Calendar for more information on admission and readmission. (https://calendar.ualberta.ca/) (CLRC 06 JUN 2013)

30.4.2(13) g Any course work completed at any institution during the period of Suspension will not be accepted as credit towards an individual's Degree, or for admission to a Degree program, or other certification at this University.

30.4.2(14) Suspension of a Degree

30.4.2(14) a Upon Suspension of a Degree the original award of a Degree will be removed from the Student’s Central Academic Record and the Transcript will show that the Degree has been suspended until the Student meets the requirements of the University to clear the Suspension. (CLRC 24 MAY 2012)

30.4.2(14) b If at the end of the time specified by a discipline decision, the Student has met the requirements of the Discipline Officer or the UAB to clear the Suspension, the original award will be restored to the Student’s Central Academic Record with the original date. The record of the Suspension will be removed from the Transcript. (CLRC 24 MAY 2012)

30.4.2(14) c If, at the end of the time specified in a discipline decision, the Student has not met the requirements of the Discipline Officer or the UAB to clear the Suspension, the record of the Suspension of the degree will not be removed. The original award will remain perpetually deleted from the Student’s Central Academic Record. (CLRC 03 MAR 2005) (CLRC 24 MAY 2012)

30.4.2(14) d The Discipline Officer or University Appeal Board may recommend to the Provost and Vice-President (Academic) that the University publish notification of the Suspension of a Degree. In the case of a professional Degree, this would include notification to the appropriate professional body. The decision of the
Provost and Vice-President (Academic) respecting this recommendation shall be deferred until an appeal is heard and decided. The decision of the Provost and Vice-President (Academic) is final and binding. (CLRC 24 MAY 2012)

30.4.2(15) Suspension of Essential University Services and Resources

30.4.2(15) a “Suspension of Essential University Services and Resources” is the denial, for a specified period of time, of those services and resources that are necessary for the completion of a Student’s program of studies at the University.

30.4.2(15) b The classification of a sanction as a Suspension of Essential University Services and Resources may be appealed as part of an appeal relating to sanction.

30.4.2(15) c The Suspension of Essential University Services and Resources shall be noted in the Student’s Academic File kept by the Dean of the Faculty in which the Student is registered, as a Negative Service Indicator in the Central Academic Record, and the Discipline File held by the Director of UAPS. (CLRC 24 MAY 2012)

30.4.2(16) Suspension of Non-essential University Services and Resources

30.4.2(16) a “Suspension of Non-essential University Services and Resources” is the denial, for a specified time, of those services or resources that are convenient or helpful to a Student but not necessary for the Student to complete a specific University program.

30.4.2(16) b The classification of a sanction as a Suspension of Non-essential University Services and Resources may be appealed as part of an appeal relating to sanction.

30.4.2(16) c The Suspension of Non-essential University Services or Resources shall be noted on the Student’s Discipline File kept by the Dean of the Faculty in which the Student is registered, as a Negative Service Indicator in the Central Academic Record, and the Discipline File held by the Director of UAPS. (CLRC 24 MAY 2012)

30.4.2(17) Violation Notices

In instances where the conduct in question or its effects are of a minor nature, a “Violation Notice” and an associated fine may be issued by a member of UAPS in lieu of initiating any other proceedings under this Code. See 30.5.6(2).

30.4.3 Levels of Sanction

30.4.3(1) Minor Sanctions

30.4.3(1) a Instructors have the authority to dismiss a Student from Class for no more than 3 hours of Class time for disturbing, disrupting or otherwise interfering with a Class. In cases where a single class meeting is longer than 3 hours, the Student may be dismissed from that entire class. In the case of an online course, the Instructor may bar the Student from any online activities related to the Class for
a maximum of one week, or equivalent to 3 hours in-class time. See 30.3.4(1) (CLRC 28 FEB 2002) (CLRC 30 MAY 2002) (CLRC 25 APR 2013)

30.4.3(1) b Unit Directors have the authority to impose the following sanctions on a Student based on a finding that the Student has committed an offence under this Code relating to the Director’s unit.

30.4.3(1) b.i Reprimand.
30.4.3(1) b.ii Fine, in an amount not to exceed $100 per Student.
30.4.3(1) b.iii Suspension of specified Essential University Services or Resources for a period of not more than 10 Working Days.
30.4.3(1) b.iv Suspension of specified Non-essential University Services or Resources for a period of not more than one year.

30.4.3(1) c University of Alberta Protective Services members have the authority to issue the following sanctions in violation notices:

30.4.3(1) c.i Fine, in an amount not to exceed $100 for Inappropriate Behaviour toward Members of the University Community not including Disruption of Class [30.3.4(1)a], Discrimination [30.3.4(2)], sexual or physical contact with another person without that person’s consent [30.3.4(6)a] or harassment or sexual harassment [30.3.4(6)d];
30.4.3(1) c.ii Fine, in an amount not to exceed $50 for Inappropriate Use of University Property and Resources [30.3.5];
30.4.3(1) c.iii Fine, in an amount not to exceed $50 for Other Offences [30.3.6] not including Alcohol Provision and Consumption;
30.4.3(1) c.iv Restitution in addition to or in lieu of any other applicable fine in an amount not to exceed $500.

30.4.3(2) Intermediate Sanctions

30.4.3(2) a Based on a finding that a Student has committed an offence under this Code, the Dean of the Faculty in which the offence occurred has the authority to impose Minor Sanctions and one or more of the following Intermediate Sanctions: (GFC 24 SEP 2007)

30.4.3(2) a.i a mark reduction or a mark of 0 on any term work or examination for reason of Inappropriate Academic Behaviour; (GFC 24 SEP 2007)
30.4.3(2) a.ii Reduction of a grade in a course;
30.4.3(2) a.iii a grade of F for a course; (CLRC 27 MAR 2003)
30.4.3(2) a.iv a remark on a transcript of 8 (or 9 for failing graduate student grades), indicating Inappropriate Academic Behaviour, in addition to 30.4.3(2) a.i, 30.4.3(2) a.ii or 30.4.3(2) a.iii; (CLRC 27 MAR 2003) (CLRC 25 NOV 2004)
30.4.3(2) a.v Suspension of specified Essential University Service or Resource for a period of 10 Working Days to one year;

30.4.3(2) a.vi Suspension of a specified Non-essential University Services or Resource for a period of one to three years;

30.4.3(2) a.vii a Fine in an amount not to exceed $500 per Student;

30.4.3(2) a.viii Conduct Probation; and

30.4.3(2) a.ix Exclusion from all or specified areas of the University for a specified period of time.

30.4.3(2) b The Dean has the authority to impose one or more of the following sanctions in addition to or in lieu of Minor Sanctions based on a finding that the Student has committed an application-related offence under this Code. (EXEC 04 MAY 2009)

30.4.3(2) b.i Refusal to consider applications for admission for up to five years, or permanently. (EXEC 04 MAY 2009)

30.4.3(2) b.ii Rescission of an Admission Offer; (EXEC 04 MAY 2009)

30.4.3(3) Severe Sanctions

30.4.3(3) a The Discipline Officer has the authority to impose Minor, Intermediate and the following Severe Sanctions. When the Discipline Officer finds that a Student has committed an offence under this Code: (1) any sanctions imposed by a Dean or Unit Director shall remain in effect; (2) the Discipline Officer may impose one or more sanctions in addition to any sanction(s) that may have been imposed by a Dean or Unit Director. (GFC 24 SEP 2007)

When the UAB finds that a student has committed an offence under this Code, the UAB has full authority to impose Minor, Intermediate and the following Severe Sanctions: (GFC 24 SEP 2007)

30.4.3(3) a.i Exclusion from all or specified areas of the University for an unspecified period of time;

30.4.3(3) a.ii Expulsion;

30.4.3(3) a.iii Suspension;

30.4.3(3) a.iv Suspension of specified Essential University Services or Resources for more than one year;

30.4.3(3) a.v Suspension of a Degree already awarded;

30.4.3(3) a.vi Rescission of a Degree already awarded;

30.4.3(3) a.vii an order for Restitution; and

30.4.3(3) a.viii a Fine not to exceed $2000.

30.4.4 Public Information about Disciplinary Sanctions
30.4.4(1) For reporting requirements, see GFC SCPC Terms of Reference at: https://www.ualberta.ca/governance/member-zone/gfc-standing-committees (EXEC 02 MAR 2009) (SCPC 25 JAN 2018)

30.4.4(2) In cases where a Student has been excluded from campus, the University is entitled to notify the University Community by any means of the Student’s name, the fact that the Student has been excluded from campus and any other information that is deemed necessary for the safety of members of the University Community.

30.5 **The Discipline Process**

30.5.1 **The General Rules of Discipline and Appeal**

30.5.1(1) There are seven main disciplinary and appeal streams:

30.5.1(1) a A complaint is initiated by a member of the University Community under 30.5.2. The Unit Director, Dean or Director of UAPS must first determine whether pursuing the charges is warranted; if so, the investigation is undertaken and/or a decision is made by the Unit Director, Director of UAPS, Dean or Discipline Officer following the steps in 30.5.5, 30.5.6(3), 30.5.7 or 30.5.8. The decision of the Unit Director, Dean or Discipline Officer may be appealed under 30.6 to the UAB whose review decision is final and binding. (GFC 28 SEP 2015)

30.5.1(1) b A complaint is initiated by an Instructor respecting Exclusion under 30.3.3. The Instructor makes a recommendation to the Dean; the Dean investigates and decides following the steps in 30.5.7. The decision of the Dean may be appealed under 30.6 to the UAB whose review decision is final and binding.

30.5.1(1) c A complaint is initiated by an Instructor respecting Inappropriate Academic Behaviour under 30.5.4 or Misrepresentation of Facts [30.3.6(4) or Participation in an Offence [30.3.6(5)] in cases respecting Inappropriate Academic Behaviour. The Instructor makes a recommendation to the Dean who investigates and makes a decision following the steps in 30.5.7. The decision of the Dean may be appealed under 30.6 to the UAB whose review decision is final and binding. (CLRC 30 MAY 2002)

30.5.1(1) d An investigation respecting an Inappropriate Use Offence is initiated by a Unit Director, who, on a finding that an offence has been committed, may impose Minor Sanctions and/or may recommend Intermediate Sanctions or Severe Sanctions (or some combination thereof) following the steps in 30.5.5. If an Intermediate or a Severe Sanction is recommended, the Discipline Officer, following the steps in 30.5.8, decides whether the sanction is warranted. Appeals of a finding that an offence has been committed or sanction imposed are made to the UAB under 30.6, whose review decision is final and binding.

30.5.1(1) e A Violation Notice and associated Fine and/or Restitution is issued by University of Alberta Protective Services which may be contested before the Director of UAPS or the Discipline Officer under 30.5.6(2).
30.5.1(1) f An investigation is initiated by the Director of UAPS, leading to a recommendation for Sanction to the Discipline Officer. The Discipline Officer, following the steps in 30.5.8, decides whether the sanction is warranted. Appeals of a finding that an offence has been committed or sanction imposed are to the UAB under 30.6, whose review decision is final and binding. (CLRC 29 NOV 2001)

30.5.1(1) g An investigation is initiated by a Dean, who, on finding that an offence has been committed, may impose Minor Sanctions or Intermediate Sanctions or may recommend Severe Sanctions (or some combination thereof) following the steps in 30.5.7. If a Severe Sanction is recommended, the Discipline Officer, following the steps in 30.5.8, decides whether the sanction is warranted. Appeals of a finding that an offence has been committed or sanction imposed are made to the UAB under 30.6, whose review decision is final and binding.

30.5.1(2) The following procedures do not preclude charges of Breaches of Rules External to the Code [see 30.3.6(2)] being laid against Students.

30.5.1(3) If a University staff member authorized to make a discipline decision has a conflict of interest in relation to particular allegations respecting a Student, the staff member shall so notify the Provost and Vice-President (Academic). The Provost and Vice-President (Academic) or delegate shall appoint and authorize another staff member to make the discipline decision and to perform all activities in connection with the decision.

30.5.1(4) A discipline decision may be appealed by a Student who has been found to have committed an offence under the Code.

30.5.1(5) Students may appeal discipline decisions only once. Therefore, the following restrictions apply:

30.5.1(5) a Because the Student already has the right of appeal under the Code, a Student may not appeal to the Faculty Academic Appeals Committee a mark of F given as a result of a discipline decision or an Academic Standing decision that is solely the result of a discipline decision. (CLRC 27 MAR 2003)

30.5.1(5) b If a Student’s Academic Standing is changed as a result of a discipline decision by the Dean or Discipline Officer to assign a mark of 0 on an assignment or lower the final mark, whether or not the final mark is accompanied by a remark, indicating Inappropriate Academic Behaviour, the Student may appeal to the Faculty Academic Appeals Committee only that portion of the mark unaffected by the sanction. In the case of an appeal to the Faculty Appeals Committee, there will be full and open disclosure of all aspects of the discipline decision. The Faculty Academic Appeals Committee cannot change that portion of the mark affected by the Dean or Discipline Officer’s decision. (CLRC 27 MAR 2003)
30.5.1(5) c  Because the Student has already had the right of appeal under the Code, a Student may not appeal an Academic Standing decision that is solely the result of a discipline decision to the Faculty Academic Appeals Committee.

30.5.1(5) d  A Student may appeal to the Faculty Academic Appeals Committee an Academic Standing decision that is not solely the result of a discipline decision. In the case of an appeal to the Faculty Academic Appeals Committee, there will be full and open disclosure of all aspects of the discipline decision. The Faculty Academic Appeals Committee cannot change the portion of any mark affected by the discipline decision.

30.5.1(6) Service and Notice

30.5.1(6) a  Material or decisions pertaining to a disciplinary process or appeal, and notice of appeal hearings may be hand-delivered, sent by e-mail, courier, or sent by any method of delivery offered by Canada Post. In cases where students have an official campus address, material may be sent to that address by campus mail. Alternatively, at the Student’s request, the Student may pick up the material, decision or notice at an arranged place. (CLRC 25 SEPT 2008) (CLRC 29 JAN 2009) (CLRC 24 MAY 2012)

30.5.1(6) b  When sent by Canada Post, campus mail or courier, the material, decision or notice shall be sent to the last address provided by the Student to the University. (CLRC 25 SEPT 2008) (CLRC 29 JAN 2009)

30.5.1(6) c  Delivery is deemed to have been effected on the date of pick-up, receipt of hand or courier delivery, or five (5) Working Days after being sent by Canada Post to Canadian addresses, and seven (7) Working Days after being sent by Canada Post to International addresses, or two (2) Working Days after being sent by campus mail. In accordance with the University’s Electronic Communication Policy for Students and Applicants, (University Calendar), electronic communications sent by the University will be deemed received the next University business day after the day the e-mail was sent. (CLRC 25 SEPT 2008) (CLRC 29 JAN 2009) (CLRC 24 MAY 2012) (SCPC 25 JAN 2018)

30.5.1(6) d  Notices, decisions and other appeal materials sent to a Dean, University of Alberta Protective Services, Discipline Officer or a Unit Director shall normally be sent by campus mail. Any of the other methods of delivery noted in this part may also be used. (CLRC 29 JAN 2009)

30.5.2 Procedures for Any Member of the University Community who believes that a Student has committed a Violation of the Code of Student Behaviour.

30.5.2(1)  A Complainant may initiate proceedings against a Student.

30.5.2(2)  The Complainant must first determine who is the most appropriate person to speak to about the complaint.

30.5.2(2) a  Where the Complainant believes that an offence involving Inappropriate Academic Behaviour [30.3.2] has been committed during a course,
Complainant should first speak to the Instructor of the course. If it is not possible to speak with the Instructor for any reason or if the Complainant is not satisfied with the results of the conversation, the Complainant should speak to the Dean.

30.5.2(2) b Where the Complainant believes a Student has disrupted Class [30.3.4(1)] and should be dismissed from Class, the Complainant should first speak with the Instructor of the Class. If it is not possible to speak with the Instructor for any reason or if the Complainant is not satisfied with the results of the conversation, the Complainant should speak to the Dean.

30.5.2(2) c Where the Complainant believes that an offence involving Inappropriate Behaviour in a Professional Program [30.3.3] has been committed, the Complainant should first speak to the University Official in charge of the Professional Program. If it is not possible to speak with the University Official for any reason or if the Complainant is not satisfied with the results of the conversation, the Complainant should speak to the Dean.

30.5.2(2) d Where the Complainant believes that a Student has committed an Inappropriate Use of University Property and Resources Offence [30.3.5], the Complainant should first speak to the Unit Director (i.e. including but not limited to, the Unit Director for the library, bookstore, AICT, gym, residence hall). If it is not possible to speak with the Unit Director for any reason or if the Complainant is not satisfied with the results of the conversation, the Complainant should speak to University of Alberta Protective Services.

30.5.2(2) e Where the Complainant believes that a Student has committed an Inappropriate Behaviour towards Individuals or Groups Offence [30.3.4, excluding Disruption] or an Other Offence [30.3.6], the Complainant should speak to University of Alberta Protective Services. (EXEC 05 DEC 2011)

30.5.2(3) If the procedures in 30.5.2(2) have failed to bring resolution or the Complainant chooses to initiate a formal complaint, the Complainant must deliver a written and signed statement explaining the alleged violation of this Code to either the Director of UAPS and/or Dean. The complaint shall be a detailed written description of the incident. This shall include the time and place, person or persons involved, and all relevant information concerning the incident. In order to protect and to ensure the safety of all members of the University Community, discretion will be used in revealing the name of the Complainant to the Student charged, should the complaint proceed.

30.5.2(4) The Dean and Director of UAPS shall work jointly on allegations that involve both academic and security matters. Otherwise they will decide which of them is the most appropriate person to handle an allegation. Usually Deans shall handle charges related to academic matters and the Director of UAPS shall deal with other matters.

30.5.2(5) If the Director of UAPS and/or Dean decide to proceed with a complaint, the procedures under 30.5.6(3) and 30.5.7 shall apply.
30.5.2(6) The Director of UAPS and/or Dean may decline to proceed with and/or investigate a complaint under the following circumstances: (GFC 28 SEP 2015)

30.5.2(6) a Where the complaint is primarily concerned with regulations of another official University organization, and the Director of UAPS and/or Dean believes that the complaint should be dealt with in accordance with procedures established by that organization;

30.5.2(6) b Where the Director of UAPS and/or Dean believes that no University rule has been broken;

30.5.2(6) c Where the Director of UAPS and/or Dean believes the complaint to be scandalous, frivolous or vexatious; or

30.5.2(6) d Where one year or more has elapsed since the incident.

30.5.2(7) a If the Dean has declined to proceed with and/or investigate a complaint then no further proceedings shall be taken respecting the complaint under this Code. (GFC 28 SEP 2015)

30.5.2(7) b If the Director of UAPS has declined to proceed with and/or investigate a complaint, the Complainant must be notified. Written reasons will be provided on request. The decision shall include information regarding the Complainant’s rights to appeal, the appeal deadlines, the appeal procedures, where to get access to the Code and where on-campus assistance is available. (GFC 28 SEP 2015)

30.5.2(8) The Complainant may appeal a decision of the Director of UAPS not to proceed with and/or investigate the complaint by delivery of a written letter to the Discipline Officer within 15 working days of the deemed receipt of the decision. (CLRC 30 MAY 2002) (GFC 28 SEP 2015)

30.5.2(8) a If the Discipline Officer decides that the decision of the Director of UAPS not to proceed with and/or investigate a complaint was appropriate, a written decision with reasons will be provided and no further proceedings shall be taken respecting the complaint under this Code. (GFC 28 SEP 2015)

30.5.2(8) b If the Discipline Officer decides that the decision of the Director of UAPS not to proceed with and/or investigate a complaint was inappropriate, the Discipline Officer will conduct any necessary investigation and determine, on a balance of probabilities, whether or not an offence has been committed and what, if any, sanctions will be imposed. (GFC 28 SEP 2015)

30.5.2(8) c The decision of the Discipline Officer may be appealed to the UAB under 30.6 by the Student who was charged and/or the Director of UAPS. The finding that an offence has been committed, the sanction imposed, or both may form the basis of an appeal. (GFC 28 SEP 2015)

30.5.3 Procedures for Instructors in Cases Respecting Class Disruptions

30.5.3(1) When a Student disturbs, disrupts, or otherwise interferes with a Class, the Instructor may immediately dismiss the Student from the Class meeting and subsequent
meetings not to exceed 3 hours of instruction. In the case of an online course, the
Instructor may bar the Student from any online activities related to the Class for a
maximum of one week, or equivalent to 3 hours in-class time. In cases where a single
Class meeting is longer than 3 hours the student may be dismissed from that entire

30.5.3(2) The Instructor shall inform the Dean about the incident as soon as possible after the
event occurred, normally within 2 Working Days. (CLRC 25 APR 2013)

30.5.3(3) If the Student engages in the behaviour described in 30.5.3(1) after resuming Class,
the Instructor may again immediately dismiss the Student from the Class, in which
case the Instructor must report that violation to the Dean and provide a written
statement of the details of both incidents normally within 2 Working Days. (CLRC
25 APR 2013)

30.5.3(4) The Dean shall follow the procedures set out in 30.5.7. The Dean shall contact the
Director of UAPS for incidents that fall outside of the Dean’s authority, as outlined
in 30.5.7(1). (CLRC 25 APR 2013)

30.5.3(5) If the Dean, Discipline Officer or UAB find that the Student did not violate the Code,
such decision shall not invalidate the prior action of the Instructor. The Dean shall,
however, ensure that every effort is made to make up the Student's lost Class time,
but the University shall not be held legally responsible for any lost Class time. (CLRC
25 APR 2013)

30.5.4 Procedures for Instructors in Cases Respecting Inappropriate Academic
Behaviour

30.5.4(1) When an Instructor believes that a Student may have committed an Inappropriate
Academic Behaviour Offence [30.3.2] or that there has been Misrepresentation of
Facts [30.3.6(4)] or Participation in an Offence [30.3.6(5)] in cases respecting
Inappropriate Academic Behaviour, or Bribery [30.3.6(7)] for the purpose of gaining
academic advantage in the course that they instruct, the Instructor will meet with the
Student. Before such a meeting, the Instructor shall inform the Student of the purpose
of the meeting. In the event that the Student refuses or fails to meet with the Instructor
within a reasonable period of time specified by the Instructor, the Instructor shall,
taking into account the available information, decide whether a report to the Dean is
(CLRC 03 FEB 2016)

30.5.4(2) If the Instructor believes there has been a violation of the Code, the Instructor shall,
as soon as possible after the event occurred, report that violation to the Dean and
provide a written statement of the details of the case. The instructor may also include
a recommendation for sanction. (CLRC 27 NOV 2003)

30.5.4(3) The Dean, acting in accordance with 30.5.7, shall decide whether the Student has
committed an offence and, if so, whether the sanction recommended by the Instructor
or any other sanction is appropriate.
30.5.5 Procedures in Cases Initiated by Unit Directors Respecting Inappropriate Use Offences

30.5.5(1) When a Unit Director believes that a Student has committed an Inappropriate Use Offence in the unit or department in which the Unit Director works, that Unit Director has the authority to initiate disciplinary proceedings. That person shall meet with the Student about the alleged offence, complete any necessary investigation of the matter, and decide whether or not, on the balance of probabilities, the Student has committed an offence. Before such a meeting, the Unit Director shall inform the Student of the purpose of the meeting and of the Student’s right to bring an Advisor [30.2.4]. (EXEC 05 May 2008)

30.5.5(2) In the event that the Student refuses or fails to meet with the Unit Director within a specified period of time, a decision, which may include a sanction, shall be made, taking into account the available evidence.

30.5.5(3) If the Unit Director has determined on the balance of probabilities that the student has committed an offence, the Unit Director will contact the Appeals Coordinator to determine if there is a previous discipline record for the Student. Only when considering what would be an appropriate sanction may the Unit Director take into account the disciplinary record, if any, of the Student. The Unit Director may impose one or more of the sanctions listed in 30.4.3(1). (EXEC 05 May 2008) (CLRC 18 June 2008)

30.5.5(4) If the Unit director believes that owing to the serious nature of the actions of the Student, an Intermediate or Severe Sanction is warranted in addition to or in lieu of any Minor Sanction(s), the Unit Director may forward a written recommendation for a specific Intermediate or Severe Sanction to the Discipline Officer. (EXEC 05 May 2008)

30.5.5(5) Where the Unit Director has decided to recommend to the Discipline Officer that the Student be Expelled, Suspended, or Excluded, the Unit Director shall so inform the Dean of the Faculty in which the Student is registered and consult with the Dean regarding the Student’s situation. After making such enquiries as the Unit Director considers necessary, the Unit Director shall either revise the recommendation or confirm and forward it to the Discipline Officer. (EXEC 05 May 2008)

30.5.5(6) Having completed consideration of the matter, the Unit Director shall, in accordance with 30.5.1(6), inform the Student in writing of the decision and the reasons for that decision. The letter shall include information on how the Student can appeal the decision. The Unit Director shall provide a copy of the decision to the Appeals Coordinator and Dean of the Faculty in which the Student is enrolled. The Student may appeal the finding that an offence has been committed and/or the sanction to the UAB under 30.6. (EXEC 05 May 2008)

30.5.5(7) If the Unit Director has recommended an Intermediate or Severe Sanction, in addition to or in lieu of the imposition of a Minor Sanction, the Discipline Officer shall follow
the procedures set out in 30.5.8. Any Minor Sanction imposed by the Unit Director will be suspended until the entire appeal process has been exhausted. (EXEC 05 May 2008)

### 30.5.6 Procedures for University of Alberta Protective Services

#### 30.5.6(1) The following procedures apply in cases respecting Inappropriate Behaviour towards Individuals or Groups, excluding Disruption in Class [30.3.4(1)a], Inappropriate Use of University Property and Resources [30.3.5] and Other Offences [30.3.6]. (EXEC 05 DEC 2011)

#### 30.5.6(2) Violation Notice Procedures

A member of UAPS may, because of the minor nature of the conduct in question or of its effects may issue and serve the Student with a Violation Notice in lieu of initiating any other proceedings to be initiated under this Code. Violation Notices may be issued for Inappropriate Behaviour towards Individuals or Groups (excluding Disruption in Class [30.3.4(1)a], Discrimination [30.3.4(2)], sexual or physical contact with another person without that person’s consent [30.3.4(6)a] or harassment or sexual harassment [30.3.4(6)d]); Inappropriate Use of University Property and Resources [30.3.5] and Other Offences [30.3.6] excluding Alcohol Provision and Consumption [30.3.6(1)]. (EXEC 05 DEC 2011)

30.5.6(2) a A Violation Notice shall set out

30.5.6(2) a.i the name of the Student,

30.5.6(2) a.ii the applicable offence,

30.5.6(2) a.iii the name of the member of UAPS who issued the Violation Notice,

30.5.6(2) a.iv the date on which the Violation Notice was issued,

30.5.6(2) a.v the amount of the fine as specified in 30.5.6(2) c and,

30.5.6(2) a.vi the following notice:

“This Violation Notice is issued by the authority of the Board of Governors and the General Faculties Council of the University of Alberta for a contravention of the Code of Student Behaviour. Payment in the amount specified hereon must be made to the University of Alberta Financial Services within 15 Working Days of the date of the Violation Notice. Payment shall be accompanied by this Violation Notice.

“This Violation Notice may be contested within 15 Working Days following the date of its issuance. If the basis for contest is that the Violation Notice has been improperly completed, the challenge must be made in person or in writing to University of Alberta Protective Services. In all other cases the challenge shall be made in writing to the Discipline Officer and the Student may request to appear in person before the Discipline Officer.
“If the Student fails to pay the fine or to contest the Violation Notice within 15 Working Days, the University shall be entitled to encumber the Student’s Academic Record (i.e. make a notation that may result in the withholding of grades or other indicators of academic attainment, withholding of transcripts, or denial or termination of registration) as provided under 30.4.2(3) of the Code of Student Behaviour.

“Further information respecting this Violation Notice may be obtained from University of Alberta Protective Services.”

30.5.6(2) b A Violation Notice shall be served on the Student in accordance with 30.5.1(6).

30.5.6(2) c The specified sanctions listed in 30.4.3(1) c may be levied under a Violation Notice.

30.5.6(2) d Payment of the amount set out in the Violation Notice must be made to Financial Services within 15 Working Days of the date of the Violation Notice.

30.5.6(2) e A Student may contest the Violation Notice within 15 Working Days of its issuance.

30.5.6(2) e.i If the Student contests the Violation Notice on the grounds that the Violation Notice was incorrectly completed, the challenge must be made in person or in writing to the Director of UAPS. The decision of the Director of UAPS in regard to the accuracy of completion of the Violation Notice is final and binding.

30.5.6(2) e.ii If the Student contests the charge in the Violation Notice that the Student has committed an offence, and/or the sanction imposed, the Student shall do so in writing to the Discipline Officer. The Discipline Officer will meet with the Student and conduct an investigation. The Discipline Officer may dismiss the charges, vary the sanction, or uphold the original Violation Notice. Sanctions are limited to those provided for on the Violation Notice. The Discipline Officer’s decision is final. (GFC 24 SEP 2007) (BEAC 17 OCT 2007) (CLRC 28 AUG 2014)

30.5.6(2) f If the Student fails to pay the fine or to contest the Violation Notice within 15 Working Days, the University shall be entitled to encumber the Student’s Academic Record as provided under 30.4.2(3).

30.5.6(2) g Notwithstanding that a Student has paid the fine specified under a Violation Notice issued under the provisions of this Code, proceedings under other provisions of this Code may be initiated by University Officials other than members of UAPS. In such cases, the amount of the fine paid under the Violation Notice by the Student shall be taken into consideration by any decision making body in determining the appropriate sanction for the Student.

30.5.6(2) h Neither the payment of a fine nor the failure to appeal a Violation Notice shall be taken as evidence that a Student has committed an offence in any proceedings under this Code, except in Violation Notice procedures.
30.5.6(3) **Recommendation to the Discipline Officer**

30.5.6(3) a Except in cases involving Violation Notices, if the Director of UAPS decides to proceed with a complaint or if an offence is detected by a member of University of Alberta Protective Services, an investigation shall be conducted and, if disciplinary measures are believed to be warranted, the results of the investigation along with a recommendation as to the appropriate sanction shall be forwarded to the Discipline Officer.

30.5.6(3) b The Discipline Officer shall follow the procedures set out in 30.5.8.

**30.5.7 Procedures for Deans**

30.5.7(1) The following procedures apply in cases respecting Inappropriate Academic Behaviour [30.3.2], Inappropriate Behaviour in Professional Programs [30.3.3] or Class Disruption [30.3.4(1)] or that there has been Misrepresentation of Facts [30.3.6(4)] or Participation in an Offence [30.3.6(5)] in cases respecting Inappropriate Academic Behaviour, Bribery [30.3.6(7)] for the purpose of gaining academic advantage, Inappropriate Behaviour in Professional Programs or Class Disruption. In cases involving application-related offences, the Dean may delegate responsibility for the case to the Registrar. (CLRC 30 MAY 2002) (EXEC 04 MAY 2009) (CLRC 03 FEB 2016)

30.5.7(2) The Dean shall meet with the Student, review the matter and determine if the facts as disclosed by the Complainant or by any University Official who has reported an alleged offence to the Dean are in dispute. Before such a meeting, the Dean shall inform the Student of the purpose of the meeting and of the Student’s right to bring an Advisor [30.2.4].

30.5.7(2) a If the facts are determined not to be in dispute, the Dean may impose one or more of the Minor Sanctions or Intermediate Sanctions listed in 30.4.3(1) or 30.4.3(2).

30.5.7(2) b If the facts are in dispute, the Dean will review the matter further by talking with all parties involved, complete any necessary investigation, and may either dismiss the charges or impose one or more of the Minor Sanctions or Intermediate Sanctions.

30.5.7(3) In the event that the Student refuses or fails to meet with the Dean within a period of time specified by the Dean, a decision, which may include a sanction, shall be made, taking into account the available evidence.

30.5.7(4) If the Dean has determined on the balance of probabilities that the student has committed an offence, the Dean will contact the Appeals Coordinator to determine if there is a previous discipline record for the Student. Only when considering what would be an appropriate sanction, may the Dean take into account the disciplinary record, if any, of the Student. (EXEC 01 MAY 2006) (CLRC 18 June 2008)

30.5.7(5) Having completed consideration of the matter, the Dean shall prepare a written decision. The decision shall include the following:
30.5.7(5) a  the offence/s alleged to have been committed by the Student,
30.5.7(5) b  an overview of the relevant evidence that was presented,
30.5.7(5) c  the reasons underlying the decision.

30.5.7(6) If the Student has been found to have committed an offence, the decision shall also include the following:

30.5.7(6) a  any sanction(s) imposed by the Dean,
30.5.7(6) b  the date any sanction(s) shall take effect,
30.5.7(6) c  any recommendation for a Severe Sanction,
30.5.7(6) d  information, including any history of related offences, that may have been influential in determining the severity of the sanction, and
30.5.7(6) e  information regarding the Student’s rights to appeal, the appeal deadlines as set out in 30.6.1(1), and the appeal procedures, where to get access to the Code and where on-campus assistance is available, and (CLRC 30 MAY 2002)
30.5.7(6) f  notice that any sanction that imposes conditions upon the Student, and that specifies an additional sanction to be imposed should those conditions not be met, must be appealed at the time it is imposed and within the time limits set out in 30.6.1(1). If the conditions are not met, no further appeal is available when the specified additional sanction is imposed. (EXEC 04 MAR 2002)

30.5.7(7) The decision shall be sent to the Student in accordance with 30.5.1(6). Where a Student has requested to pick up the material but fails to do so, the Dean will decide which method of delivery will be used. (CLRC 31 OCT 2002)

30.5.7(8) The Dean shall send a copy of the decision to the Appeals Coordinator, the Dean of the Student’s Faculty (if different than the Dean who has charged the Student), the Instructor who has initiated the discipline process, and, in the case of a graduate Student, the Graduate Coordinator. (EXEC 08 DEC 2003) (BEAC 11 DEC 2003) (EXEC 02 MAY 2005) (BEAC 02 JUN 2005) (CLRC 24 MAY 2012)

In programs jointly offered with another institution, the partner institution shall be copied on the decision when the charges have arisen as a result of inappropriate behaviour at that partner institution. (EXEC 02 MAY 2005)

30.5.7(9) If a sanction is to be noted on the Student’s Central Academic Record, the Dean shall so inform the Office of the Registrar. If a sanction Exclusion from all or parts of campus for a specified period of time is levied, the Dean shall so inform the Director of UAPS. (CLRC 24 MAY 2012)

30.5.7(10) If the Dean believes that owing to the serious nature of the actions of the Student, a Severe Sanction is warranted in addition to or in lieu of any Minor or Intermediate Sanction(s), the Dean may forward a written recommendation for a specific Severe Sanction to the Discipline Officer.
30.5.7(11) Where the Dean has decided to recommend to the Discipline Officer that the Student be Expelled, Suspended, or Excluded for an unspecified time, and where the Student is registered in another Faculty, the Dean shall so inform the Dean of the Faculty in which the Student is registered and consult with the Dean regarding the Student’s situation. After making such enquiries as the Dean considers necessary, the Dean shall either revise the recommendation or confirm and forward it to the Discipline Officer.

30.5.7(12) If the Dean has recommended a Severe Sanction, in addition to or in lieu of the imposition of a Minor Sanction or an Intermediate Sanction, the Discipline Officer shall follow the procedures set out in 30.5.8. Any Minor or Intermediate Sanction (except exclusions) imposed by the Dean will be suspended until the entire appeal process has been exhausted. The Dean shall direct the Registrar to withhold Degrees, certification of marks and/or transcripts pending the outcome of any appeals. If a grade sanction forms part of the decision of the Dean or Discipline Officer, a grade of IN will appear on the transcript until such time as the appeal process has been exhausted or the deadline for appeal has passed. (GFC 24 SEP 2007)

30.5.7(13) If the Dean has found that an offence has been committed and imposed one or more of the Minor or Intermediate Sanctions, the Student may appeal the finding that an offence has been committed and/or the sanction to the UAB under 30.6.

30.5.8 Procedures for the Discipline Officer

30.5.8(1) The following procedures apply in cases in which a Unit Director recommends the imposition of an Intermediate or Severe Sanction, the Director of UAPS recommends a sanction or a Dean recommends the imposition of a Severe Sanction.

30.5.8(2) The Discipline Officer shall meet with the Student, review the matter and determine if the facts as disclosed by the Unit Director, Director of UAPS or Dean are in dispute. Before such a meeting, the Discipline Officer shall inform the Student of the purpose of the meeting and of the Student’s right to bring an Advisor [30.2.4].

In cases stemming from a breakdown in interpersonal relations, the Discipline Officer may, at the Discipline Officer’s discretion, offer to refer the parties to voluntary mediation before proceeding with charges under this Code. Both parties must agree to pursue mediation. If as a result of mediation both parties agree the conflict is successfully resolved, no further disciplinary steps will be taken. (GFC 24 SEP 2007)

30.5.8(3) In the event that the Student refuses or fails to meet with the Discipline Officer within a period of time specified by the Discipline Officer, a decision and a sanction shall be arrived at taking into account the available evidence.

30.5.8(4) The Discipline Officer may or may not decide to follow the recommendations of the Dean, Director of UAPS or Unit Director.

30.5.8(4) a If the facts are determined not to be in dispute, the Discipline Officer may impose one or more of the sanctions listed in 30.4.3(3).
30.5.8(4) b If the facts are in dispute, the Discipline Officer shall conduct any necessary investigation, which will normally include talking with all parties involved. The Discipline Officer may either dismiss the charges or impose one or more of the sanctions listed in 30.4.3(3). Only in the case where the Discipline Officer decides that the Student has not committed an offence may the Discipline Officer remove any sanction imposed by the Unit Director or Dean. Otherwise, the sanction imposed by the Unit Director, or Dean will stand whether or not the Discipline Officer follows the recommendation of the Unit Director, or Dean. (CLRC 30 MAY 2002)

30.5.8(4) c If the Discipline Officer has determined on the balance of probabilities that the student has committed an offence, the Discipline Officer will contact the Appeals Coordinator to determine if there is a previous discipline record for the Student. Only when considering what would be an appropriate sanction, may the Discipline Officer take into account any past record of related offences of the Student. (EXEC 01 MAY 2006) (CLRC 18 June 2008)

30.5.8(5) Having completed consideration of the matter, the Discipline Officer shall prepare a decision, which shall include the following:

30.5.8(5) a the offence(s) alleged to have been committed by the Student,
30.5.8(5) b an overview of the relevant evidence that was presented,
30.5.8(5) c a summary of the findings of the Discipline Officer, and
30.5.8(5) d the reasons underlying the decision.

30.5.8(6) If the Student has been found to have committed an offence under this Code, the decision shall also include the following:

30.5.8(6) a any sanction(s) imposed by the Discipline Officer,
30.5.8(6) b the date any sanction(s) shall take effect,
30.5.8(6) c information, including any history of related offences, that may have been influential in determining the severity of the sanction,
30.5.8(6) d information regarding the Student’s rights to appeal, the deadlines to appeal, and the procedures for appeal, where to get access to the Code and where on-campus assistance is available, and
30.5.8(6) e notice that any sanction that imposes conditions upon the Student, and that specifies an additional sanction to be imposed should those conditions not be met, must be appealed at the time it is imposed and within the time limits set out in 30.6.1(1). If the conditions are not met, no further appeal is available when the specified additional sanction is imposed. (EXEC 04 MAR 2002)

30.5.8(7) The decision shall be sent to the Student in accordance with 30.5.1(6). Where a Student has requested to pick up the material but fails to do so, the Discipline Officer will decide which method of delivery will be used. (CLRC 31 OCT 2002)
The Discipline Officer shall send a copy of the decision to the following individuals:

a) the Appeals Coordinator;
b) Director of UAPS, Unit Director and/or Dean who charged the student;
c) the Dean of the Student’s Faculty;
d) the Instructor who initiated the discipline process, where applicable;
e) in the case of a graduate Student found to have committed any offences under Section 30.3.2 (Inappropriate Academic Behaviour) or Section 30.3.6 (Other Offences) for academic advantage, the Graduate Coordinator;
f) the Office of General Counsel; and
g) the Provost and Vice-President (Academic), or delegate. (EXEC 08 DEC 2003) (BEAC 11 DEC 2003) (EXEC 02 MAY 2005) (BEAC 02 JUN 2005) (CLRC 24 MAY 2012)

In programs jointly offered with another institution, the partner institution shall be copied on the decision when the charges have arisen as a result of inappropriate behaviour at that partner institution. (EXEC 02 MAY 2005)

If a sanction is to be noted on the Student’s Central Academic Record or Transcript, the Discipline Officer shall so inform the Office of the Registrar. (CLRC 24 MAY 2012)

The decision of the Discipline Officer may be appealed to the UAB under 30.6 by the Student and/or the Director of UAPS, the Unit Director, or Dean. (CLRC 30 JAN 2003)

During the appeal period, a Student appealing to the UAB a decision of Suspension or Expulsion made by the Discipline Officer, may register for Classes and continue to attend Classes. If the Student loses the appeal, no credit will be given for work completed subsequent to the date given in the UAB decision. (CLRC 26 SEP 2002) (EXEC 10 JAN 2005) (BEAC 22 APR 2005) (CLRC 24 MAY 2012)

Procedures for Appeal of Decisions to the University Appeal Board (UAB)

Initiation of an Appeal

When a Student has been found to have committed an offence under the Code of Student Behaviour or an Applicant is found to have committed a offence under the Code of Applicant Behaviour, whether or not that Student or Applicant has been given a sanction, the Student or Applicant may appeal that decision, except in the case of a decision of the Discipline Officer under 30.5.6(2)e.ii, which remains final and is not subject to appeal. In cases where a severe sanction has been recommended to the Discipline Officer, once the student receives the final decision of the Discipline
Officer, the student can appeal the decisions of both Dean and the Discipline Officer at the same time. The written appeal must be presented to the Appeals Coordinator in University Governance within 15 Working Days of the deemed receipt of the decision by the Student or Applicant. The finding that an offence has been committed, the sanction imposed or both may form the basis of appeal. The written appeal must also state the full grounds of appeal and be signed by the Appellant. The appeal shall be heard by the UAB. (CLRC 30 MAY 2002) (CLRC 25 SEP 2003) (EXEC 01 MAY 2006) (GFC 24 SEP 2007) (BEAC 17 OCT 2007) (EXEC 03 DEC 2012)

30.6.1(2) A Dean, the Director of UAPS or a Unit Director may appeal a decision of the Discipline Officer. The appeal must be presented in writing to the Appeals Coordinator in University Governance within 15 Working Days of the deemed receipt of the Discipline Officer’s written decision. The decision shall normally be sent by campus mail and will be deemed to have been received 2 working days following mailing. The written appeal must state the full grounds of appeal and be signed by the Appellant. The appeal shall be heard by the UAB. (CLRC 30 JAN 2003) (EXEC 03 MAY 2004) (EXEC 02 MAY 2005)

30.6.1(3) If the appeal is only on the severity of sanction and there is no dispute over facts, the appellant or respondent may request to forego a formal hearing and elect to ask the UAB to hear the appeal only on paper. The request will be made in writing to the Appeals Coordinator, who shall forward it to the Chair for decision. To proceed with a paper appeal, all parties must agree to the request. (GFC 24 SEP 2007) (BEAC 17 OCT 2007)

30.6.1(4) The Appeals Coordinator shall keep both parties abreast of all appeals and decisions.

30.6.2 Terms of Reference and Powers

30.6.2(1) The UAB, as delegate of General Faculties Council and the Board of Governors, shall have authority to determine whether or not an offence has been committed and to confirm, vary or quash sanctions imposed under the Code of Student Behaviour or the Code of Applicant Behaviour (Section 11.8 of the GFC Policy Manual). Any conditions imposed within a sanction and any additional sanction to be imposed should those conditions not be met, must be appealed at the time they are imposed and within the time limits set out in 30.6.1(1). If the conditions are not met, no further appeal is available when the specified additional sanction is imposed. (EXEC 04 MAR 2002) (CLRC 25 SEP 2003)

30.6.2(2) Meetings of the UAB shall be scheduled as required to hear and determine appeals against discipline decisions.

30.6.2(3) All decisions made by the UAB will be final and binding.

30.6.2(4) The appeal shall be based upon the denial of the offence, and/or the severity of the sanction. A defect in procedures shall not warrant the quashing of the decision being appealed from unless the defect complained of can reasonably be said to have deprived either party of a fair hearing.
30.6.3 Composition

30.6.3(1) For each hearing the UAB shall consist of 1 Academic Staff Member as chair and 2 Students. Each member shall be chosen from the panels listed below.

30.6.3(2) All panel members (Academic Staff Members and Students) shall be elected by GFC. In selecting members of the Panel, GFC will attempt to keep the membership of the UAB as broadly representative as possible of all Faculties given the available pool of candidates, but it will be permissible for any of the panel members to come from one of the Faculties already represented by one of the other panel members.

30.6.3(3) Panel of Chairs: GFC shall elect a panel of up to seven Academic Staff Members to serve as chairs of particular hearings. At least one of the panel members shall have a Law Degree. The Appeals Coordinator has the discretion to select a panel member with a Law Degree to chair a particular hearing. The panel members will serve for staggered terms of office of up to four years.

30.6.3(4) Panel of Students: GFC shall elect a panel of 10 undergraduate Students and 6 graduate Students. All Student members shall be elected for up to two-year terms and are eligible for re-election. (EXEC 01 MAR 2004) (BEAC 30 APR 2004)

30.6.3(5) When a hearing involves an undergraduate Student or an undergraduate Applicant*, the UAB will include at least one undergraduate Student. When a hearing involves a graduate Student or a graduate Applicant*, the UAB will include at least one graduate Student. For the purposes of selection and service on the UAB, graduate Students are considered to be from the Faculty where they receive supervision. Students who are in any joint graduate/undergraduate Degree program (e.g., the joint MBA/LLB program) are considered to be graduate Students for the purpose of service and selection on the UAB. (EXEC 01 MAY 2006) (EXEC 04 JUN 2012)

*Applicant is defined in Section 11.8.3.4 of the Code of Applicant Behaviour.

30.6.3(6) No UAB member in a hearing will be from a Faculty which is party to the dispute. Students in any joint Degree program will not be called upon to hear appeals that arise from any of the Faculties involved in the joint program.

30.6.3(7) If all members from the Panel of Chairs are unable to serve, the Appeals Coordinator may complete a Panel by selecting, in rotation, first from the UAB Panel of Chairs, and then from the GFC AAC Panel of Chairs. (EXEC 04 JUN 2012)

If all student members from the Panel of Students are unable to serve, the Appeals Coordinator may complete a Panel by selecting, in rotation, either one full-time undergraduate student or one full-time graduate student, from the GFC AAC Panel of Students. (EXEC 04 JUN 2012)

The GFC Executive Committee shall have the discretion to appoint an Academic Staff Member as Chair for a hearing from outside the UAB or GFC AAC Panel of Chairs. (EXEC 04 JUN 2012)
30.6.3(8)  At the discretion of the Chair, new members may attend a hearing as observers.

30.6.3(9)  Any panel member who has been called to serve on the UAB for a particular case may complete their service on that case even if their term on a panel expires or, in the case of students, a student graduates or changes status from undergraduate to graduate.

30.6.3(10)  The Appeals Coordinator or designate may approach the Provost and Vice-President (Academic) (or delegate) if the Appeals Coordinator becomes aware of any reason why a particular member is unable to serve on a hearing panel, and request that the UAB member not be called upon to hear the appeal. The decision of the Provost and Vice-President (Academic) (or delegate) is final and binding. (CLRC 25 NOV 2004) (EXEC 10 JAN 2005) (BEAC 22 APR 2005)

30.6.4  Procedures Prior to a Hearing

30.6.4(1)  As soon as an appeal is received the Appeals Coordinator shall:

30.6.4(1) a  provide the Appellant with a written acknowledgement of the appeal;

30.6.4(1) b  provide the Student or Applicant with a list of on-campus sources of assistance;  
(EXEC 01 MAY 2006)

30.6.4(1) c  provide the Respondent with a copy of the written appeal, and advise the Respondent that a response is required within 10 Working Days; (CLRC 30 MAY 2002)

30.6.4(1) d  select a Chair for the UAB hearing;

30.6.4(1) e  provide both the Appellant and the Respondent with the name of the proposed UAB Chair and the names of all members of the panel;

30.6.4(1) f  direct the Registrar to withhold Degrees, certification of marks and/or transcripts pending the outcome of the appeal;

30.6.4(1) g  suspend any sanctions, except exclusions, imposed by the Dean or Discipline Officer, and suspend any sanctions imposed by University of Alberta Protective Services, the Registrar or Unit Director. (BEAC 22 APR 2005) (EXEC 01 MAY 2006)

30.6.4(2)  The Appellant and Respondent will have 5 Working Days after receipt of the names to lodge a written challenge with the Appeals Coordinator requesting that the proposed UAB Chair or a panel member not serve on the appeal.

30.6.4(3)  Challenges may be made only on the grounds that the proposed UAB Chair or panel member may have a bias that would prevent a fair hearing and must include written reasons to support the challenge. The Chair shall consider and rule upon the challenge. The decision of the Chair may be made without a hearing and shall be final and binding. If the UAB Panel has been constituted, the Appeals Coordinator will replace the UAB member with another member who will be selected by rotation from
the same constituent group (i.e., academic staff, undergraduate Student or graduate Student). (EXEC 04 JUN 2012)

30.6.4(4) For each appeal, every attempt will be made to have a member in reserve from each category, prepared in advance to attend the hearing. (CLRC 30 JAN 2003)

30.6.4(5) All UAB members should declare to the Appeals Coordinator their interests, if any, in a particular case in order to ensure objectivity and a fair hearing.

30.6.4(6) The Appellant and Respondent must notify the Appeals Coordinator immediately upon selecting an Advisor or retaining legal counsel for purposes of representation at the UAB hearing.

30.6.4(7) Upon receipt of the response to the appeal, a copy will be provided to the Appellant.

30.6.4(8) Appeals are intended to proceed in a timely manner and the hearing date will normally be set to occur within 30 Working Days of the receipt of the appeal.

30.6.4(9) A witness list must be provided to the Appeals Coordinator by both the Appellant and the Respondent at least 5 Working Days prior to the hearing date. The Appeals Coordinator shall ensure that as witnesses become known, the other party and the UAB are informed as to the identity of the witnesses.

30.6.4(10) The UAB Chair in consultation with the Appeals Coordinator will decide any procedural questions that arise before the hearing.

30.6.4(11) Either the Appellant or the Respondent may request in writing an extension of any time limits. The UAB Chair may extend any of the time limits where the UAB Chair is of the opinion that the applicant has a reasonable ground for requesting such extension. The decision of the UAB Chair may be made without a hearing and shall be final and binding.

30.6.4(12) a. The Appeals Coordinator shall consult with the Chair, who shall set a time and place for the hearing of the appeal. (CLRC 30 MAY 2002)

b. Reasonable delays are allowed but should either party feel that an unreasonable time has passed without the date of the hearing being set, either party may appeal to the UAB Chair, through the Appeals Coordinator, for a ruling as to whether the delay is reasonable. If the UAB Chair decides the delay is unreasonably long, then the UAB Chair shall set the appeal hearing date within 10 Working Days and the appeal hearing must occur within 20 Working Days. The decision of the UAB Chair may be made without a hearing and is final and binding. (CLRC 30 MAY 2002)

c. The UAB Chair sets the time and place for the hearing, and the Appeals Coordinator shall constitute the University Appeal Board and provide its members with:
i. the date, time and place of the Appeal Hearing,

ii. the appeal and any documentation from the respondent, and

iii. if applicable, the written report of the Discipline Officer. (CLRC 30 JAN 2003)

30.6.4(13) The Appeals Coordinator shall make certain that both parties have access to the Student’s or Applicant’s discipline file held in Student Conduct and Accountability, Dean’s Office, the Director of University of Alberta Protective Services’ Office, the Registrar’s Office or the Unit Director’s Office, up until the time of an appeal hearing. (CLRC 29 MAY 2003) (EXEC 01 MAY 2006) (EXEC 02 APR 2012) (EXEC 11 MR 2016)

30.6.4(14) Notices and other appeal materials sent by the Appeals Coordinator may be hand-delivered, sent by courier, or by regular or registered mail in accordance with 30.5.1(6). In all cases, the Appeals Coordinator will decide which method of delivery will be used.

30.6.4(15) Once the date for the appeal hearing is set, the Dean and/or the Director of UAPS shall inform the Complainants that they may request permission to attend the full hearing of their case. The Director of UAPS shall forward such requests to the Appeals Coordinator. The UAB Chair shall decide whether a Complainant may attend as an observer for all or part of the hearing.

30.6.5 Procedures at the UAB Hearing

30.6.5(1) The quorum of the UAB shall be three members: the Chair, and two Student members.

30.6.5(2) In hearing an appeal, the UAB:

a) shall give all parties to the appeal the opportunity to be heard and to present evidence;

b) in addition to considering the evidence presented and the arguments and submissions of the parties, may consider the written reports or written decisions that are under appeal; and

c) may make any finding or decision of its own, or otherwise confirm, reverse or vary the decision under appeal. (GFC 24 SEP 2007) (BEAC 17 OCT 2007)

30.6.5(3) If the Appellant or Respondent does not appear on the date set for the hearing of the appeal, the UAB may, in its discretion, reschedule the hearing or proceed with the hearing in the absence of the Appellant or the Respondent. (EXEC 01 MAY 2006)

30.6.5(4) The UAB is authorized to receive advice related to procedural, evidentiary or legal issues raised during the course of an appeal.

30.6.5(5) The UAB may request additional material, seek advice from expert witnesses and may have a resource person or persons attend any or all portions of its hearings.
30.6.5(6) Material not submitted and/or witnesses not identified prior to an appeal hearing will not be accepted unless the UAB is of the opinion that, with the exercise of reasonable diligence, the material or witnesses could not have been made available or identified prior to the hearing and that the material or testimony of the witnesses is relevant to the appeal.

30.6.5(7) The UAB may accept any evidence that it, in its sole discretion, considers proper, whether admissible in a court of law or not; and it is not bound by the Alberta Evidence Act or the law of evidence applicable to judicial proceedings.

30.6.5(8) Either party may be accompanied and represented by one Advisor. (EXEC 03 DEC 2012)

30.6.5(9) The UAB shall hear the argument of both sides to the appeal and then, by majority vote, shall determine whether or not an offence has been committed and uphold or quash the decision under appeal. Where a decision against a Student or Applicant is upheld, the UAB may confirm, vary or suspend the sanction imposed. (EXEC 04 JUN 2012)

30.6.5(10) Both parties and the UAB may call and question witnesses and may call evidence. Each party is responsible for securing the attendance of their witnesses at the hearing.

30.6.5(11) **UAB Suggested Hearing Procedures**

30.6.5(11) The UAB shall conduct hearings in a manner which, in its sole discretion, it considers proper. All determinants of process shall be made by the Chair. The hearing will normally follow these procedures, which it may vary: (EXEC 04 JUN 2012)

30.6.5(11) a The Appeals Coordinator shall present the appeal to the UAB, and introduce the parties. (EXEC 04 JUN 2012)

30.6.5(11) b The Chair shall explain the rules of decorum, review the procedures to be followed, and confirm the jurisdiction of the UAB. The Appellant and Respondent may make statements, present evidence and ask questions as noted in this section. All questions should be directed through the Chair unless the Chair decides otherwise. The Chair shall ensure that everyone has sufficient opportunity to ask questions. (EXEC 04 JUN 2012)

30.6.5(11) c The Chair shall invite the Appellant (and/or Advisor) to make an opening statement and present the case. (EXEC 04 JUN 2012)

30.6.5(11) d The Chair will invite the Respondent (and/or Advisor) to question the Appellant. (EXEC 04 JUN 2012)

30.6.5(11) e The Panel may question the Appellant. (EXEC 04 JUN 2012)

30.6.5(11) f The Appellant's witnesses shall be called by the Chair one at a time and shall be present only when they are providing evidence. The witnesses shall be questioned first by the Appellant (and/or Advisor), then by the Respondent
(and/or Advisor), and finally by the Panel. The Appellant (and/or Advisor) may then re-question the witness, only on matters that have arisen in the course of the previous questioning by the aforementioned parties. (EXEC 04 JUN 2012)

30.6.5(11) g When questioning is concluded, the witness shall be dismissed by the Chair. The questioning procedures shall be repeated for each witness. (EXEC 04 JUN 2012)

30.6.5(11) h The Chair shall invite the Respondent (and/or Advisor) to make an opening statement and present the case. (EXEC 04 JUN 2012)

30.6.5(11) i The Chair shall invite the Appellant (and/or Advisor) to question the Respondent. (EXEC 04 JUN 2012)

30.6.5(11) j The Panel may question the Respondent. (EXEC 04 JUN 2012)

30.6.5(11) k The Respondent’s witnesses shall be called by the Chair one at a time and shall be present only when they are providing evidence. The witnesses shall be questioned first by the Respondent (and/or Advisor); next by the Appellant (and/or Advisor); and finally by the Panel. The Respondent (and/or Advisor) may re-question the witness, only on matters that have arisen in the course of the previous questioning by the aforementioned parties. (EXEC 04 JUN 2012)

30.6.5(11) l When questioning is concluded, the witness shall be dismissed by the Chair. The questioning procedures shall be repeated for each witness. (EXEC 04 JUN 2012)

30.6.5(11) m The Chair shall invite the Appellant (and/or Advisor) to present any evidence the Appellant (and/or Advisor) may have by way of rebuttal. Such evidence shall be subject to questioning by the Respondent (and/or Advisor); followed by the Panel. (EXEC 04 JUN 2012)

30.6.5(11) n The Chair shall invite the Appellant (and/or Advisor) to make a brief closing statement which is not subject to questioning. (EXEC 04 JUN 2012)

30.6.5(11) o The Chair shall invite the Respondent (and/or Advisor) to make a brief closing statement which is not subject to questioning. (EXEC 04 JUN 2012)

30.6.5(11) p The Chair shall adjourn the hearing for deliberation; the Appellant and Respondent (and Advisors) shall leave the hearing. (EXEC 04 JUN 2012)

30.6.5(12) The UAB will deliberate and reach a decision by majority vote. In cases where the UAB has determined on the balance of probabilities that the Student or Applicant has committed an offence(s), or if otherwise relevant to the consideration of the appropriate sanction, the UAB may take into account any past record of related offence(s) in determining appropriate sanction(s). The UAB may contact the Appeals Coordinator to confirm if there is a previous discipline record. (EXEC 01 MAY 2006) (EXEC 08 SEPT 2008) (EXEC 04 JUN 2012)

30.6.5(13) The Chair of the Panel, where practical, will communicate the decision to the Appeals Coordinator. The Appeals Coordinator, as soon as possible, will relay the decision to
the Appellant (and Advisor) and the Respondent (and Advisor). (EXEC 04 JUN 2012)

30.6.5(14) The Chair shall normally submit the written decision of the UAB to the Appeals Coordinator within 10 Working Days of the decision being reached. The Appeals Coordinator shall then send a copy of the UAB's decision to the following individuals:

a) the Appellant/ Respondent and their respective advisor;
b) the Dean of Student’s Faculty;
c) the Discipline Officer, in cases where the Discipline Officer’s decision has been appealed;
d) the Instructor who initiated the discipline process, where applicable;
e) in the case of a graduate Student, the Graduate Coordinator
f) the Provost and Vice-President (Academic), or delegate;
g) the Office of General Counsel;
h) Chair of the Student Conduct Policy Committee;
i) members on the hearing panel; and
j) the Panel of Chairs.


In programs jointly offered with another institution, the partner institution shall be copied on the UAB decision when the charges have arisen as a result of inappropriate behaviour at that partner institution. (BEAC 02 JUN 2005)

Code of Applicant Behaviour decisions shall be sent to the Registrar and all Faculties to which the Applicant has sought admission. (EXEC 01 MAY 2006)

30.6.5(15) The Appeals Coordinator will direct the Registrar to amend the Student’s Central Academic Record or Transcript as appropriate to the decision. (CLRC 30 SEPT 2004) (EXEC 10 JAN 2005) (BEAC 22 APR 2005) (EXEC 01 MAY 2006) (EXEC 15 JUN 2012)

30.6.6 Hearings of the University Appeal Board are closed to the Public and University Community.

30.6.6(1) The confidential and closed nature of this hearing means that only those persons who have a need to know about the matter may have access to the relevant material.

30.6.6(2) If the Vice President (Academic) and Provost and/or the Dean of Students believe that the general issues related to discipline cases should be discussed within the University Community, then a time and venue for such a discussion to take place will be arranged.

30.7 Amendment of the Code

30.7.1 Legislative Authority
General Faculties Council (GFC) and the Board of Governors may amend the Code in exercise of the authority vested in them by Section 31 of the Post-Secondary Learning Act. (CLRC 25 SEP 2003) (CLRC 29 OCT 2004 e-mail vote)

30.7.2 Editorial Amendments

30.7.2(1) The Student Conduct Policy Committee (SCPC) decides which amendments are editorial. (CLRC 29 OCT 2004 e-mail vote) (SCPC 25 JAN 2018)

30.7.2(2) On delegated authority from GFC, all editorial amendments will be approved by the Student Conduct Policy Committee (SCPC) except editorial amendments to Section 30.6. (CLRC 29 OCT 2004 e-mail vote) (SCPC 25 JAN 2018)

30.7.2(3) All amendments to Section 30.6 will be forwarded to the GFC Executive Committee for approval. (CLRC 29 OCT 2004 e-mail vote)

30.7.3 Substantive Amendments

30.7.3(1) Amendments to the Code deemed substantive by SCPC are forwarded to the GFC Executive Committee, which will decide whether or not it can act on behalf of GFC. (CLRC 29 OCT 2004 e-mail vote) (SCPC 25 JAN 2018)

30.7.3(2) Only substantive changes to Section 30.6 proceed to the Board Educational Affairs Committee, which will decide whether or not it can act on behalf of the Board of Governors. (BEAC 11 JUNE 2004)

30.7.3(3) The Secretary to GFC must notify Students’ Union and the Graduate Students’ Association of all substantive changes to the Code (including Section 30.6) 15 Working Days before those changes are considered by GFC. The Students’ Union and the Graduate Students’ Association will be invited to contact their members so that the Students can access the changes on the World Wide Web via University Governance’s home page.

30.7.4 The Code must be published in each issue of the University Calendar. All amendments approved to the Code and subsequent to the publication of the Calendar are available on-line at: https://www.ualberta.ca/governance/resources/policies-standards-and-codes-of-conduct/code-of-student-behaviour (CLRC 29 OCT 2004 e-mail vote)

30.7.5 The Coordinator of SCPC, in consultation with the Appeals Coordinator, shall maintain the Official Copy of the Code and all amendments thereto. (CLRC 29 OCT 2004 e-mail vote) (SCPC 25 JAN 2018)
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# Governance Executive Summary

**Advice, Discussion, Information Item**

## Agenda Title
Parchments for Online and Continuing Education Programs

### Item

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<thead>
<tr>
<th>Proposed by</th>
<th>Norma Rodenburg, Acting Vice-Provost and University Registrar</th>
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<td>Presenter</td>
<td>Norma Rodenburg, Acting Vice-Provost and University Registrar</td>
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### Details

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<tr>
<th>Office of Administrative Responsibility</th>
<th>Provost and Vice-President (Academic)</th>
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<tr>
<td>The Purpose of the Proposal is (please be specific)</td>
<td>The proposal is before the committee to inform GFC Executive about the changes to parchments for non-credit programs.</td>
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<tr>
<td>Executive Summary (outline the specific item – and remember your audience)</td>
<td>This item is before the Committee to inform the Committee of the required changes that need to occur with the dissolution of the Faculty of Extension to Online and Continuing Education on certificate/citation/diploma parchments for non-credit programs that were previously under the Faculty of Extension. Changes to the parchment will include: - change of name from Faculty of Extension to Online and Continuing Education (see attached new and past version of parchments) -change of signatures from the Dean/Chancellor to Provost/Chancellor -Parchments issued up until June 30, 2022 will retain the Faculty of Extension name for any parchment reprints. As of July 1, 2022 all new parchments and reprints will display the new name of “Online and Continuing Education”</td>
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<td>Supplementary Notes and context</td>
<td>&lt;This section is for use by University Governance only to outline governance process.&gt;</td>
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### Engagement and Routing (Include proposed plan)

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<th>Provost and Vice President Academic Office of the Registrar AVP, Online and Continuing Education Vice-Provost, Programs</th>
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### Strategic Alignment

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<th>Alignment with For the Public Good</th>
<th>Please note the Institutional Strategic Plan objective(s)/strategies the proposal supports.</th>
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<tr>
<td>Alignment with Core Risk Area</td>
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<th>Enrolment Management</th>
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**Item No. 6**

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<tr>
<th>Legislative Compliance and Jurisdiction</th>
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<tr>
<td>1. New Online and Continuing Education Parchment</td>
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<td>2. Previous Faculty of Extension Parchment</td>
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Prepared by: University Governance
UNIVERSITY OF ALBERTA
ONLINE AND CONTINUING EDUCATION

Certifies by this document to all whom it may concern that
STUDENT NAME
having successfully completed all the program requirements
has been granted the

OCCUPATIONAL HEALTH AND SAFETY
CERTIFICATE
with Distinction

Given at this university on the
tenth day of June, two thousand and twenty-two
in the one hundred and fifteenth year of the University of Alberta.

CHANCELLOR

INTERIM PROVOST
UNIVERSITY OF ALBERTA
FACULTY OF EXTENSION

Certifies by this document to all whom it may concern that

STUDENT NAME

having successfully completed all the program requirements

has been granted the

OCCUPATIONAL HEALTH AND SAFETY CERTIFICATE

with Distinction

Given at this university on the
twenty-fifth day of June, two thousand and twenty-one
in the one hundred and fourteenth year of the University of Alberta.

CHANCELLOR

DEAN
Governance Executive Summary
Advice, Discussion, Information Item

Agenda Title
College Model Review

Item

<table>
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<tr>
<th>Proposed by</th>
<th>Verna Yiu, Interim Provost and Vice-President (Academic)</th>
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<tr>
<td>Presenter</td>
<td>Verna Yiu, Interim Provost and Vice-President (Academic)</td>
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Details

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<thead>
<tr>
<th>Office of Administrative Responsibility</th>
<th>Office of the Provost and Vice-President (Academic)</th>
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<tbody>
<tr>
<td>The Purpose of the Proposal is</td>
<td>To provide GFC Executive with an update on the review of the college model, and to seek input from members on the review’s questions.</td>
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<tr>
<td>(please be specific)</td>
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<tr>
<td>Executive Summary</td>
<td>Summary</td>
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<tr>
<td>(outline the specific item – and</td>
<td>Dr. Dru Marshall, former Deputy Provost at the University of Alberta and former Provost at the University of Calgary, has agreed to review the college model, in accordance with the motions that established the Colleges.</td>
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<td>remember your audience)</td>
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Background

On December 11, 2020, the Board of Governors approved a new college model for the University of Alberta. The model created three colleges - Health Sciences, Natural and Applied Sciences, and Social Sciences and Humanities, into which 13 of the University’s Faculties were grouped.

The Board’s motions included a provision that the Colleges would be implemented by a college dean seconded from the existing Deans within the respective college, and that after 18 months, the President would undertake a review of the college administrative and leadership structure and report to the Board and GFC.
The colleges were launched on July 1, 2021, and an initial version of the operating model was released in June 2021. The operating model identified authority and responsibilities of different layers of the institution in the new college model. Following establishment of College Offices of Education and Research, and appointment of Associate Deans in the Colleges on July 1, 2022, the operating model was revised and re-released in fall 2022, along with the University of Alberta for Tomorrow: One University document.

College Review Project Description

Through reviewing materials and interviewing key stakeholders, Dr. Marshall will evaluate and make recommendations on the college administrative and leadership structure, and will seek to respond to the following four questions:

1) How do the colleges support the success of the university in building a team based culture, promoting innovation, increasing interdisciplinary collaborations (research and teaching), and finding efficiencies?

2) What do we need to do for the College Model to propagate UA to be in the top 3 in Canada and in the top 50 in the world?

3) What opportunities would you recommend as the Colleges evolve and mature with time? What early opportunities are there for successes that will lead to further success?

4) How do you recommend that the University measure success as the colleges moves forward?

We invite input from GFC Executive on these questions and whether additional questions should be included in the scope of the review.

Engagement with General Faculties Council: The Office of the Provost will invite members of GFC to provide input on the review, through written comments or through participation in roundtable discussions with Dr. Marshall.

Deliverable and Timeline

General Faculties Council roundtables to take place in January 2023.

Detailed report, including observations and recommendations, delivered no later than March 30, 2023.
The report will be presented to the General Faculties Council and the Board of Governors following its receipt.

**Supplementary Notes and context**

*This section is for use by University Governance only to outline governance process.*

### Engagement and Routing (Include proposed plan)

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### Strategic Alignment

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| Legislative Compliance and jurisdiction | Post-Secondary Learning Act (PSLA) |

### Attachments

*Prepared by:*

Kathleen Brough, Chief of Staff, Office of the Provost and Vice-President (Academic)
# Agenda Title

<table>
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<th>Item No. 8</th>
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## Governance Executive Summary

**Advice, Discussion, Information Item**

### Agenda Title

| Definition of Full-time Academic Staff, General Faculties Council and Faculty Council Composition |

## Item

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<tr>
<th>Proposed by</th>
<th>General Faculties Council (GFC)</th>
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<td>Presenter</td>
<td>Kate Peters, GFC Secretary</td>
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<td>Heather Richholt, Associate Secretary to GFC</td>
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## Details

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<td>The Purpose of the Proposal is (please be specific)</td>
<td>As a part of the 3-year review of the GFC terms of reference, the proposal is before the committee to review compliance with the Post-Secondary Learning Act (PSLA) for membership of full-time members of the academic staff as included in the composition of GFC and Faculty Councils</td>
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### Executive Summary (outline the specific item – and remember your audience)

**The Post-Secondary Learning Act (PSLA) sets out the composition of GFC, and Faculty and School Councils as follows:**

**GFC (Section 23):**

- persons who are members by virtue of their offices (a);
- members elected from the full-time members of the academic staff of the faculties (b);
- undergraduate and graduate student government members (c); and
- additional members (d), appointed by the members referred to in (a), (b) and (c).

**Faculty/School Council (Section 28):**

- the dean (a);
- the president (b);
- all full-time members of the academic staff of the faculty (c);
- certain representatives of professional associations (d);
- any other persons who are appointed to the faculty council by the general faculties council on the recommendation of the faculty council (e).

GFC and GFC Executive Committee have made multiple decisions within their legislated authority to amend GFC and Faculty Council compositions to add appointed members. However, GFC has also made decisions regarding the eligibility and definition of those who fall under the category of “full-time members of the academic staff of a faculty”.
What Criteria has GFC approved for eligibility to serve on GFC and Faculty Council?

For the purpose of standing for election to GFC, the GFC Terms of Reference currently interpret “full-time academic staff” to mean academic faculty in categories A1.1 and A1.6.

For the purpose of serving on Faculty Councils, GFC Policy 55.1.4 states that "full-time academic staff" is interpreted to mean all continuing academic staff defined as Category A1.0 in Appendix A Definitions and Categories of Academic Staff (Appendix A), which, in addition to academic faculty, includes categories A1.2 Administrative and Professional Officers (APOs), A1.3 Faculty Service Officers (FSOs), and A1.4 Librarians.

Furthermore, for both GFC and Faculty Councils, GFC has not allowed for the inclusion of academic staff members in categories A2 Academic Teaching Staff (ATS) and Temporary Librarian, Administrative and Professional Officers (TLAPS) and A3 (Trust/Research Academic Staff (TRAS), even though they would be considered academic staff according to the PSLA definition.

Analysis

Notwithstanding the prior decisions of GFC and GFC Executive relating to the definition of full time academic staff, the current analysis suggests that limiting membership to certain categories of employees is not in compliance with the PSLA and, in fact, contradicts the Board's stated definition (set out in consultation with the AASUA) of categories of staff designated as academic staff for the purposes of the PSLA. Those designated are also members of the AASUA.

The PSLA (1(c)) defines academic staff as follows:

“academic staff member”, “academic staff” and “member of the academic staff” mean an employee of the board of a comprehensive community college, polytechnic institution or university who, as a member of a category of employees or individually, is designated as an academic staff member in accordance with this Act

The Board definition of “academic staff” is set out in Appendix A and includes all staff members from category A1, A2, and A3. There is also dispensation for category C1.1 (special continuing colleagues) with the note: "For the purposes of serving on GFC Committees these individuals may be included in Category A1.1." In accordance with legal advice, we are assured that, while the current restrictions placed upon eligible members for GFC are not in compliance with the PSLA, decisions...
rendered to date by GFC and Faculty Councils which, follow its procedures pursuant to a valid motion and with proper quorum, are valid decisions.

**Preparing for these Changes:**

1. What are the implications to the number and category of appointed members on GFC?
2. How does GFC account for representation of category A staff who are not affiliated with Faculties and therefore cannot stand for election to GFC?
3. Are there other areas where there is inequality of consideration for all academic staff under GFC’s purview?
   a. Should part-time continuing A1.5 and A1.7 be appointed to serve on Faculty Councils?
   b. Should a similar provision be added for GFC?

| Supplementary Notes and context | <This section is for use by University Governance only to outline governance process.> |

**Engagement and Routing** (Include proposed plan)

<table>
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<th>Faculty and Staff Relations</th>
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<tr>
<td>GFC Nominating Committee</td>
<td>GFC Executive Subcommittee on Governance Procedural Oversight</td>
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**Strategic Alignment**

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**Legislative Compliance and jurisdiction**

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<td>GFC Terms of Reference</td>
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<tr>
<td>UAPPOL Recruitment Policy Appendix A</td>
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**Attachments (each to be numbered 1 - <>)**

1. [UAPPOL Recruitment Policy (Appendix A) Definitions and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff](link) (link)
2. Past Decisions of GFC Related to Composition and Eligibility
3. Breakdown of Academic staff categories and numbers across the University
4. Impact on Reapportionment of GFC
Past Decisions of GFC Related to Composition and Eligibility:

There shall be at least one elected representative for every Faculty with a full-time instructional staff of 6 or more.
(GFC 29 APR 1966)

“Full-time Members of the Academic Staff” are all members of the academic staff holding tenure or on continuing probationary appointments leading to tenure, and members of any additional groups so designated by the Board of Governors on the recommendation of General Faculties Council.
(GFC 02 JUN 1966)

“Academic Staff” includes any person who has a letter of appointment to an academic position at this University.
(GFC 02 JUN 1966)

“Full-time member of the academic staff of a Faculty or School” is a member of the full-time academic staff of the University who holds an appointment in at least one Faculty or School. Subject to the above definition,
(a) a member of staff who holds an appointment in only one Faculty or School is a full-time member of that particular Faculty or School;
(b) a member of staff who holds appointments in two or more Faculties or Schools is a full-time member of the academic staff of the Faculty or School that pays the larger portion of his salary;
(c) a member of the staff who holds appointments in two or more Faculties or Schools that pay his salary in equal amounts, may choose his membership in one and only one of these Faculties or Schools.
(GFC 02 JUN 1966)

For the purpose of election of faculty to GFC at the University of Alberta, “full-time members of the academic staff” is interpreted to mean continuing academic staff in Categories A1.1 and A1.5 and their counterparts in Category A1.6.
(GFC 28 NOV 1988)

At the University of Alberta, for the purpose of serving on Faculty Councils, “full-time academic staff” is interpreted to mean all continuing academic staff (Category A1.0).
(GFC 28 NOV 1988)
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<th>Faculty/VP Portfolio</th>
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GFC EXECUTIVE COMMITTEE
For the meeting of December 5, 2022

Item No. 9

Governance Executive Summary
Advice, Discussion, Information Item

<table>
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<tr>
<th><strong>Agenda Title</strong></th>
<th><strong>Proposed Changes to GFC Executive Terms of Reference</strong></th>
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<th><strong>Item</strong></th>
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<tr>
<td>Proposed by</td>
<td>GFC Executive Subcommittee on Governance and Procedural Oversight (GPO)</td>
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| Presenter | Jerine Pegg, Chair of GPO  
Kate Peters, GFC Secretary |

<table>
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<th><strong>Details</strong></th>
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<tr>
<td>Office of Administrative Responsibility</td>
<td>General Faculties Council</td>
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<td>The Purpose of the Proposal is (please be specific)</td>
<td>The proposal is before the committee for early consultation on proposed changes stemming from the work of GPO to conduct a three-year review of the Executive Committee terms of reference.</td>
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<tr>
<td>Executive Summary (outline the specific item – and remember your audience)</td>
<td>Tracked Changes are attached and will be circulated to GFC with a feedback form for their input.</td>
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Proposed changes are as follows:

- Addition of governance and procedural oversight to the mandate and role of the committee
- Changes to language in areas of responsibilities for clarity
- Adding two members to the committee composition: 1 elected staff member from the appointed category and 1 graduate student member
- 4.1 edit so that Exec will not wait until the next meeting of GFC to report any decisions made under this authority
- 4.2 adding language regarding Exec’s role to ask for clarity or consultation – this would not give Exec any additional authority and is not a gatekeeping function it is simply articulating the responsibility set out in 6.1 and 6.2 of the Meeting Procedural Rules for Exec to ensure that items are complete and ready for GFC
- 4.3 edit to align language with that in the Post-Secondary Learning Act (PSLA)
- 4.4 edit to refer to policies in general rather than specific documents –specific documents already indicate approval authority
- 4.5 remove approval of consolidated exams and suggest transfer of authority to Programs Committee
- 4.6 edit for consistency and addition of editorial authority
- 6.1 addition of language in sub delegation and proposal to rescind GFC Policy 25
- Additions of definitions of editorial changes and editorial authority
<table>
<thead>
<tr>
<th>Supplementary Notes and context</th>
<th>&lt;This section is for use by University Governance only to outline governance process.&gt;</th>
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</table>

**Engagement and Routing (Include proposed plan)**

| Consultation and Stakeholder Participation | GPO - Feb 7, Apr 4, Oct 24, 2022  
Vice-Provost and Registrar  
Student Appeals Coordinator  
GFC - Initial Feedback form November 2022  
GPO - November 28, 2022 |

**Strategic Alignment**

<table>
<thead>
<tr>
<th>Alignment with <em>For the Public Good</em></th>
<th>Objective 21</th>
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| Legislative Compliance and jurisdiction | *Post-Secondary Learning Act*  
GFC Executive Terms of Reference  
GFC Executive Subcommittee on Governance and Procedural Oversight Terms of Reference |

**Attachments:**

1. Exec ToR-Tracked Changes document

*Prepared by:* Heather Richholt, Associate Secretary to GFC
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, governance and procedural oversight, and carrying out the functions delegated to it by GFC. The Committee may act 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, conditions, restrictions, and control function, sub-delegations
   d. Student Judiciary matters
   e. Academic procedural matters
   f. Governance procedural rules and procedures oversight

3. **Composition**
   **Voting Members (164)**
   *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 (119)**
   - 7 elected 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 elected appointed members (from any staff category)
   - 1 Faculty Dean
   - 1 undergraduate student
   - 1 graduate 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:
GFC EXECUTIVE COMMITTEE
Terms of Reference

a. GFC Standing Committees
b. GFC members
c. University Administration

The committee may choose to provide comments to GFC on any agenda items and may ask for clarity in documents or for additional consultation.

4.3 Faculty Councils

a. Approve composition and quorum provisions of Faculty Councils
b. Review any conditions or restrictions that are imposed by GFC on Exercise supervision of control functions regarding Faculty Councils (section 29 and 30 of PSLA), and make with recommendations to GFC when appropriate

4.4 Student Judiciary Matters

a. Consider changes to policies on student conduct and discipline Code of Student Behaviour, Code of Applicant Behaviour, Practicum Intervention Policy for approval or placement on the GFC agenda
b. Receive annual reports on student conduct and discipline and discuss annual reports on student conduct, including residence discipline statistics, and appeals and place on the GFC agenda for information

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

4.6 Governance Procedural Oversight

a. Ensure delegations from GFC and committee terms of reference 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
c. Make editorial changes to GFC Committee terms of reference and report changes to GFC

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, minor procedural directions, and final editorial authority 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 to GFC 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
   Editorial changes – these include grammar and punctuation as well as updates of names and titles for accuracy
   Editorial authority for minor procedural directions - as related to the University Calendar, includes the structure of the Calendar, compliance with general University policy and other applicable decisions made by GFC pertaining to academic programs.

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:
February 25, 2019
May 25, 2020
Kate Peters, Secretary to General Faculties Council (GFC) and Manager, GFC Services

---------- Forwarded message ----------
From: Kate Peters <peters3@ualberta.ca>
Date: Fri, 28 Oct 2022 at 15:42
Subject: For Review: Revised meeting materials and Documentation for discussion
To:
Cc: Heather Richholt <richholt@ualberta.ca>, Faiza Billo <faiza.billo@ualberta.ca>

Dear Members of GFC Executive Committee,
The meeting materials for October 31, 2022 have been updated with documents for Items 5, 9, and 10. on the University Governance website.
On behalf of the University Secretary and General Counsel, I would also ask you to review the attached documents in advance of the meeting of Executive Committee on Monday. We would like to ask members to discuss the protocol put together by members of the Board Governance Committee and the GFC Executive Committee on Communicating Recommendations from General Faculties Council to the Board of Governors. This concerns the motion passed by GFC on October 17th to request that the Board pause implementation of the College Dean Selection Procedure as laid out in the attached final motions from the meeting. The documentation which you may want to communicate to the Board is also included in the final motions.
Thank you,
Kate

Kate Peters, Secretary to General Faculties Council (GFC) and Manager, GFC Services

UNIVERSITY OF ALBERTA
University Governance
3-04 South Academic Building (SAB)
Edmonton, AB Canada T6G 2G7
T 780.492.4733 E kate.peters@ualberta.ca

L'Université de l'Alberta reconnaît respectueusement que nous sommes situés sur le territoire des traités 6, 7 et 8, terres traditionnelles des Premières Nations et des Métis.

University Governance | www.governance.ualberta.ca
Communicating Recommendations from General Faculties Council to the Board of Governors

Introduction

In response to a recommendation from the February 8, 2021 Committee of the Whole of General Faculties Council (GFC) that GFC and the Board of Governors develop joint committees to discuss areas of overlap, the GFC Executive Committee (Exec) and the Board Governance Committee (BGC) met on March 25, 2021, May 13, 2021 and September 13, 2021.

At these meetings, BGC and Exec members discussed:

- the Post-Secondary Learning Act, which guides both bodies in this matter and which requires that
  o members of the Board of Governors’ (BG) act in the best interests of the university [s. 16(5)] (including those BG members that are cross-appointed with GFC);
  o General Faculties Council’s (GFC) recommendations on academic matters “must be considered” by the BG [ss. 19, 26]; and
  o the President transmit to the Board any recommendations from GFC (s. 26(2)).
- amendments made both by GFC and the Board of Governors (Board) to an Academic Restructuring Proposal in December of 2020 and the processes which were followed to arrive at those amendments;
- suggestions for improved communications between GFC and the Board; and
- how to improve shared governance in the case of a decision by GFC that the President does not support.

At their meeting of September 13, 2021, the two committees agreed on a set of recommendations (as follows) for significant matters of both academic and administrative importance where additional measures might be needed to improve communications and effective functioning of shared governance at the University of Alberta.

1. Identifying Significant Matters

A recommendation by GFC to the Board concerning a matter with both academic and administrative aspects will be deemed ‘significant’ by the GFC Executive Committee when it includes one or more of the following criteria:

a. The matter has both academic and administrative aspects of material importance to the university;
b. The matter relates to the long-term direction of the university;
c. There are time constraints on the Board relating to the above matters.
d. The President advises the GFC Exec that the President does not support a GFC recommendation to the Board.

2. Recommendations to Improve Communications

Measures to improve communication and understanding between GFC and the Board regarding any recommendation by GFC to the Board concerning a matter of “significant” (See S. 1 above) academic and administrative importance and where additional measures might be needed to improve communications and effective functioning of shared governance at the University of Alberta include:

---

1 GFC’s statutory role as it relates to academic matters is subject to Board oversight of all matters as provided for in the PSLA.
a. At the request of GFC, the Board Chair (or their designate) will explain to GFC the context in which the Board will receive the GFC recommendation, including details regarding any particular concerns and/or objectives of the Board in respect of the subject matter of the GFC recommendation.

b. The GFC Exec will be given a reasonable opportunity to review and provide input into the information package supporting a recommendation by GFC to the Board.

c. In circumstances where there are time constraints on the Board, GFC Exec will work to find ways to allow GFC to provide feedback while respecting those timelines.

3. Implementation specific to Section 1d when the President does not support a GFC recommendation

In the event that the President advises GFC or the GFC Exec that the President does not support a GFC recommendation to the Board, the GFC will select a different individual to present / speak in favour of the GFC motion at the Board meeting where the motion is considered.

a. On behalf of GFC, the GFC Exec will approve a brief on the summary of discussions at GFC, that will be distributed for information to GFC.

b. If GFC Exec deems it necessary, they will nominate a member of GFC to present the brief to the Board in addition to the President who will transmit GFC’s decision as per the requirement in the PSLA.

   ○ GFC will be given an opportunity to nominate a different individual than the person chosen by Exec to present the brief. If required, the matter will be put to an electronic vote by members of GFC. The cross-appointed GFC-Board members will not be eligible to provide this service.

   ○ The individual will present the brief after the President has transmitted the decision of GFC. The individual may respond to clarification questions on the brief, but will not be asked to speak on behalf of GFC.

c. It is understood that in circumstances when the Board has time constraints for making its decision, these steps may need to be expedited and votes may need to be conducted electronically and within reduced time-frames.

d. Although the Board will endeavour to provide the GFC a reasonable period in which to elect an individual to present the recommendation to the Board, the Board will not be required to delay its decision making processes to accommodate this GFC process when such delay would not be in the best interests of the university. In such a case, the brief on the summary of discussions at GFC will be distributed to the Board.

These guidelines will be kept for reference on the University Governance website.
Carolyn Sale

Motion for the General Faculty Council’s Meeting of 17 October 2022

GFC to consider “College Dean Selection Procedure”

Whereas section 26.1 of Alberta’s Postsecondary Learning Act declares that:

“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” over various matters specified in 26.1; and

Whereas section 26.1(o) of Alberta’s Postsecondary Learning Act, states that the General Faculties Council has the authority to:

(o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university; and

Whereas the General Faculties Council cannot exercise its statutory powers under the Postsecondary Learning Act unless it is advised, in advance and in a timely manner, of all policies that the President or the Provost intends to take to the Board of Governors for its consideration and approval; and

Whereas at its meeting of 17 June 2022, the Board of Governors considered and approved a new policy, “College Dean Selection Procedure,” presented to it by the Provost without the policy having been presented to the General Faculties Council for its consideration and recommendation;

The General Faculties Council requests that the Board of Governors not act upon or continue to act upon this “Procedure” until such time as the General Faculties Council has had the opportunity to consider and make a recommendation to the Board on the “Procedure,” as its statutory right.
Faiza Billo <faizad@ualberta.ca>

Fwd: TIME-SENSITIVE: GFC on November 14

Kate Peters <peters3@ualberta.ca>
To: Faiza Billo <faiza.billo@ualberta.ca>  

Kate Peters | Pronouns: She/Her/Elle
Secretary to General Faculties Council (GFC) and Manager, GFC Services

---------- Forwarded message ---------
From: Verna Yiu <pvpa@ualberta.ca>
Date: Tue, 1 Nov 2022 at 16:25
Subject: TIME-SENSITIVE: GFC on November 14
To: - provost <provost@ualberta.ca>
Cc: Kate Peters <peters3@ualberta.ca>

Dear GFC Executive members,

My profuse apologies for not attending the meeting yesterday as I was leading a strategic plan discussion with the U of A senior leadership team.

I would like to inquire and gain support from GFC Exec for some changes to the upcoming GFC meeting on November 14th.

As you know, we are officially launching the University Strategic Planning (USP) tomorrow. The initial work over the next 2 months is to gather input and advice from our internal and external community. GFC is a critically important participant in the strategic planning process, and to start off the involvement of members of GFC, I’d like to use part of the time allocated for the November 14th meeting for an engagement session on the USP. That means that we would reduce the time of the official GFC meeting to 45 minutes and then have an engagement session with members of GFC for 90 minutes following that. I would suggest that we could defer some items on that GFC agenda - the Nominating Committee item, for example, and perhaps Question Period.

I invite your thoughts on this proposal by return email. Because we are on a tight timeline with preparation of the GFC materials, please let me know your initial thoughts by the end of day Wednesday.

If GFC Exec is generally supportive of the proposal, then Kate will share a draft revised GFC agenda for an e-vote.

Again, I’m sorry that I couldn’t be there to present this yesterday and happy to answer any questions you may have.

All the best,
Verna

Verna Yiu, MD, FRCPC
Interim Provost and Vice-President (Academic)

UNIVERSITY OF ALBERTA
Office of the Provost and Vice-President (Academic)

2-40 South Academic Building (SAB)
Edmonton, AB Canada T6G 2G7
Faiza Billo <faizad@ualberta.ca>

Fwd: ACTION REQUESTED: eVote on November 14 GFC Agenda
1 message

Kate Peters <peters3@ualberta.ca>  
To: Faiza Billo <faiza.billo@ualberta.ca>  
Mon, Nov 21, 2022 at 11:35 AM

Kate Peters | Pronouns: She/Her/Elle  
Secretary to General Faculties Council (GFC) and Manager, GFC Services

---------- Forwarded message ---------
From: Kate Peters <peters3@ualberta.ca>  
Date: Thu, 3 Nov 2022 at 11:38  
Subject: ACTION REQUESTED: eVote on November 14 GFC Agenda  
To:  
Cc: Heather Richholt <richholt@ualberta.ca>, Faiza Billo <faiza.billo@ualberta.ca>

Dear Members of Exec,

With the permission of the Chair and at the request of the Provost, we are requesting an electronic vote of Executive Committee members to consider the rescission of the approval of the November 14th GFC agenda and the approval of a revised agenda of 45 minutes. This shortened meeting is intended to create an opportunity for a full University Strategic Plan engagement session with members of GFC following the meeting.

______________________________
MOTION 1: THAT the GFC Executive Committee rescind the approval of the Agenda for the November 14, 2022 meeting of General Faculties Council.

______________________________
MOTION 2: THAT the GFC Executive Committee approve, under delegated authority from General Faculties Council, the revised Agenda for the November 14, 2022 meeting of General Faculties Council, as set forth in Attachment 1.

______________________________
VOTING PROCEDURE:
Please register your vote by reply email no later than 12:00 p.m. on Friday, November 4, 2022, by indicating one of the following for both Motion 1 and Motion 2:

I am in favour of this motion

OR

I am not in favour of this motion

According to our Meeting Procedural Rules 13.5. in cases where extensive deliberation is not essential to determining a course of action, the Chair and Secretary of a GFC standing committee may hold an electronic vote. However, upon receiving the item of business and ballot, any committee member may request that the matter be debated at a special meeting and the vote delayed until after that debate, with the Chair determining the appropriate course of action.
Thank you,
Kate

Kate Peters | Pronouns: She/Her/Elle
Secretary to General Faculties Council (GFC) and Manager, GFC Services

UNIVERSITY OF ALBERTA
University Governance
3-04 South Academic Building (SAB)
Edmonton, AB Canada T6G 2G7
T 780.492.4733  E kate.peters@ualberta.ca

UNIVERSITY OF ALBERTA

L'Université de l'Alberta reconnaît respectueusement que nous sommes situés sur le territoire des traités 6, 7 et 8, terres traditionnelles des Premières Nations et des Métis.

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2022-11-03-eVote-exec.pdf
181K
Faiza Billo <faizad@ualberta.ca>

Fwd: Results of the eVote - GFC Executive Committee approval of the agenda
1 message

Kate Peters <peters3@ualberta.ca>  
To: Faiza Billo <faiza.billo@ualberta.ca>

Kate Peters | Pronouns: She/Her/Elle
Secretary to General Faculties Council (GFC) and Manager, GFC Services

---------- Forwarded message ----------
From: Kate Peters <peters3@ualberta.ca>
Date: Fri, 4 Nov 2022 at 16:01
Subject: Results of the eVote - GFC Executive Committee approval of the agenda
To:
Cc: Heather Richholt <richholt@ualberta.ca>, Faiza Billo <faiza.billo@ualberta.ca>

Dear members of the GFC Executive Committee,
The results of the November 3 eVote are now available on the University Governance website.

Thank you,
Kate
Kate Peters | Pronouns: She/Her/Elle
Secretary to General Faculties Council (GFC) and Manager, GFC Services

UNIVERSITY OF ALBERTA
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que nous sommes situés sur le territoire des traités 6, 7 et 8,
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