

The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, June 19, 2020 meeting:

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Agenda Title: **Annual Review: Board Finance and Property Committee Terms of Reference**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the proposed changes to the Committee's Terms of Reference, as set forth in Attachment 1, to take effect upon final approval.

Final Item: 3c.

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Agenda Title: **2021-2022 International Tuition Fee Proposal for Incoming Students**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve tuition fees to take effect for the Fall 2021 intake of new international students, as set forth in Attachment 1.

Final Item: 3d.

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Agenda Title: **Long Range Development Plan Amendment 2020 (Michener Park)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Facilities Development Committee, approve the removal of Michener Park (Section 6.3) from the Long Range Development Plan 2002.

Final Item: 3e.

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Agenda Title: **Disposition of Land, Lot 84**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property known as Lot 84, located at 8327 112 Street, Edmonton, Alberta, and legally described as:

Lots 18 to 22  
Block 159  
Plan I23A  
EXCEPTING THEREOUT ALL MINES AND MINERALS

and

- b) make an application to the Minister of Infrastructure for the required approval in the form of a Ministerial Order for the granting of the disposition, as set forth in Attachment 3.

Final Item: 3f.

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Agenda Title: **Disposition of Land, Camrose Condo**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property located at 407, 5419 49 Avenue, Camrose, Alberta, and legally described as:

Condominium Plan 0324177  
Unit 31  
And 312 UNDIVIDED ONE TEN THOUSANDTH SHARES IN THE COMMON PROPERTY  
EXCEPTING THEREOUT ALL MINES AND MINERALS

Final Item: 3g.

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Agenda Title: **Disposition of Land, Ronning House**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property known as Ronning House, located at 4606 49 Street, Camrose, Alberta, and legally described as:

Lot 15  
Block 10  
Plan 3605U  
EXCEPTING THEREOUT ALL MINES AND MINERALS

and

- a) make an application to the Minister of Infrastructure for the required approval in the form of a Ministerial Order for the granting of the disposition, as set forth in Attachment 3.

Final Item: 3h.

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Agenda Title: **University of Alberta Annual Report 2019-2020**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Reputation and Public Affairs Committee, approve and adopt the University of Alberta Annual Report 2019-20 and empower the Associate Vice-President (Disclosure, Assurance and Institutional Research) to make any editorial changes to the Report, as needed, as long as the changes do not have the force of policy.

Final Item: 3i.

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Agenda Title: **Recruitment and Selection of Employees Policy and Procedures**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the amended Recruitment and Selection of Employees Policy Suite, as set forth in attachment 3, and authorize the Deputy Provost to make changes as outlined in the "Supplementary Notes and context" section below, all to take effect upon final approval.

Final Item: 4.

Item No. 3c

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>Annual Review: Board Finance and Property Committee Terms of Reference</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the proposed changes to the Committee's Terms of Reference, as set forth in Attachment 1, to take effect upon final approval.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Charlene Butler, Chair, Board Finance and Property Committee
Presenter(s)	Charlene Butler, Chair, Board Finance and Property Committee Erin Plume, Assistant Board Secretary

**Details**

Office of Administrative Responsibility	University Governance
The Purpose of the Proposal is	To review the Board Finance and Property Committee's Terms of Reference and approve necessary changes, as required annually by the committee's Terms of Reference
Executive Summary	<p><b><u>Background</u></b></p> <p>2019-20 was the first year that the Board's committees worked within refreshed Terms of Reference, following a two-year review of Board of Governors' processes, structure and role in providing strategic oversight, insight and foresight with a goal of governance excellence in support of the university's institutional strategic plan, that culminated in the Board of Governors approving revised Terms of Reference for all of its standing committees in June 2019.</p> <p>The revised Terms of Reference ensured alignment with:</p> <ul style="list-style-type: none"> <li>• committee restructuring recommendations as outlined in the Board-approved <a href="#">Report &amp; Recommendations of the Board Working Group</a>;</li> <li>• revised committee mandate statements and principle documents, as well as direction regarding delegations of authority, as recommended by the <a href="#">Board Ad Hoc Group on Committee Mandates and Membership (BAGMM)</a>.</li> </ul> <p>In June 2019, <u>changes to the Board Finance and Property Committee (BFPC) Terms of Reference</u> included:</p> <ul style="list-style-type: none"> <li>• addition of the Audit and Risk Committee's delegated oversight for "Enterprise-wide Risk Management" and BFPC's responsibility to consider risks associated with items before it;</li> <li>• incorporation of March 2019 Board-approved delegations of authority for tuition and fees items, as well as legislative changes resulting from Bill 19, <i>An Act to Improve the Affordability and Accessibility of Post-Secondary Education</i>;</li> <li>• inclusion of certain functions already within committee authority and current practices but never formally documented in the Terms of Reference (ie role in recommending the university's long-range development plan, residence rates, meal plan rates, and parking rates);</li> <li>• changes to Board delegation related to: capitalization of funds, and collection of GSA and SU fees, based on BAGMM's recommendations;</li> </ul>

Item No. 3c

	<ul style="list-style-type: none"> <li>addition of a general delegation of authority related to changes in policy within the committee mandate;</li> </ul> <p><b><u>Annual review</u></b></p> <p>One minor change is proposed:</p> <ul style="list-style-type: none"> <li>Under <i>Financial</i>, the addition of <i>d) reviews and approves authorized signing officers in respect of all banking and safekeeping</i> – this was inadvertently omitted during the June, 2019 refresh of BFPC’s ToR</li> </ul>
Supplementary Notes and context	In addition to each committee’s annual review of its own Terms of Reference, the Board Governance Committee is responsible for reviewing the Board’s committee structure and mandates to ensure committees remain relevant and effective, with a comprehensive review every three years.

**Engagement and Routing** (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)  <For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a> >	<p><b><u>Those who are actively participating:</u></b></p> <ul style="list-style-type: none"> <li>Board Finance and Property Committee members</li> </ul>
	<p><b><u>Those who have been consulted:</u></b></p> <ul style="list-style-type: none"> <li>Juli Zinken, Board Secretary</li> <li>Erin Plume, Assistant Board Secretary</li> </ul>
	<p><b><u>Those who have been informed:</u></b></p> <ul style="list-style-type: none"> <li></li> </ul>
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee – May 26, 2020 – for recommendation Board Governance Committee – May 27, 2020 – for review Board of Governors – June 19, 2020 – for approval

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<p><i>SUSTAIN: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</i></p> <p><i>21. Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</i></p>													
Alignment with Core Risk Area	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0"> <tr> <td><input type="checkbox"/> Enrolment Management</td> <td><input type="checkbox"/> Relationship with Stakeholders</td> </tr> <tr> <td><input type="checkbox"/> Faculty and Staff</td> <td><input type="checkbox"/> Reputation</td> </tr> <tr> <td><input type="checkbox"/> Funding and Resource Management</td> <td><input type="checkbox"/> Research Enterprise</td> </tr> <tr> <td><input type="checkbox"/> IT Services, Software and Hardware</td> <td><input type="checkbox"/> Safety</td> </tr> <tr> <td><input checked="" type="checkbox"/> Leadership and Change</td> <td><input type="checkbox"/> Student Success</td> </tr> <tr> <td><input type="checkbox"/> Physical Infrastructure</td> <td></td> </tr> </table>		<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders	<input type="checkbox"/> Faculty and Staff	<input type="checkbox"/> Reputation	<input type="checkbox"/> Funding and Resource Management	<input type="checkbox"/> Research Enterprise	<input type="checkbox"/> IT Services, Software and Hardware	<input type="checkbox"/> Safety	<input checked="" type="checkbox"/> Leadership and Change	<input type="checkbox"/> Student Success	<input type="checkbox"/> Physical Infrastructure	
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Legislative Compliance and jurisdiction	<p>1. <b>Post Secondary Learning Act (PSLA)</b>, Section 60 (1)(b): “The Board of a public post-secondary institution shall develop, manage and operate, alone or in cooperation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta.”</p> <p>2. <b>Board of Governors General Terms of Reference</b>, Section b: “The Board has delegated to each Committee responsibility and authority to make decisions on behalf of the Board in the Committee’s defined area of</p>													

Item No. 3c

	<p>responsibility except to the extent that such authority has been specifically limited by the Board in the Terms of Reference for the Committee.”</p> <p>...</p> <p>“...issues which remain with the Board or which would be referred by a Committee to the Board would generally be in the nature of...any matter involving an alteration in the mandate, terms of reference, membership, or structure of a Committee;...”</p> <p>3. <b>Board Finance and Property Committee Terms of Reference</b> Section 5 (c): annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.</p>
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Attachments:

1. Proposed Board Finance and Property Committee Terms of Reference (red-lined) (3 pages) – **for approval**
2. Proposed Board Finance and Property Committee Terms of Reference (clean) (3 pages)

Prepared by: Erin Plume, Assistant Board Secretary, [erin.plume@ualberta.ca](mailto:erin.plume@ualberta.ca), 780-492-9699

**1. Mandate and Role of the Committee** – The Board Finance and Property Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight and foresight with respect to all significant financial and property matters of the University.

**2. Areas of Responsibility**

Without limiting the generality of the foregoing, the Committee:

Financial

- a) reviews and monitors quarterly financial statements with respect to operating and capital funds.
- b) reviews and approves capitalization of funds to endowments.
- c) reviews and recommends approval of the annual consolidated and capital budgets.
- e)d) reviews and approves authorized signing officers in respect of all banking and safekeeping;
- e)e) monitors trends and key budget drivers affecting the University and identifies the strategic implications of those trends for the University's future needs.
- e)f) with input from the Board Reputation and Public Affairs Committee, reviews the annual report on donations and gifts, monitors fundraising performance, and considers implications, within the Board Finance and Property Committee mandate, for the mission and sustainability of the University.
- f)g) reviews, approves, and recommends approval of internal loans, as determined by the university's Internal Loan Policy.

Tuition and Fees

- e)h) approves increases to domestic student tuition fees equal to or less than the Consumer Price Index, as defined under the Alberta *Post-Secondary Learning Act* and its associated Regulations.
- h)i) reviews and recommends new mandatory non-instructional fees, and approves increases to existing mandatory non-instructional fees equal to or less than the agreed-upon weighted annual inflation with both a ceiling of 5.0% and a floor of 0%.
- h)j) approves new mandatory student instructional support fees, and changes to or deletions of existing mandatory student instructional support fees.
- h)k) reviews and recommends approval of international student tuition fees.
- k)l) approves the collection of fees on behalf of University of Alberta Students' Union and Graduate Students' Association.
- h)m) reviews and approves residence rental rate increases equal to or less than 5.0%.
- m)n) reviews and approves meal plan rate increases equal to or less than the most recently reported Alberta Consumer Price Index plus 1.0%.
- n)o) reviews and recommends approval of parking rates.

Facilities, Property and Capital Expenditures

- e)p) reviews, approves, and recommends approval of capital expenditures, as determined by the University's Capital Expenditure Authorization Request (CEAR) Policy.
- p)q) reviews and recommends approval of the acquisition or disposition of real property, as determined by the University's Real Property Acquisition and Disposition Procedures and as guided by the Capital Expenditure Authorization Request (CEAR) Policy approval limits.
- e)r) Identifies and monitors trends relating to the University's property and its deferred maintenance needs, and assesses the strategic impact of such trends and changes on the University.
- f)s) reviews quarterly planning reports for individual capital projects.
- e)t) reviews and recommends approval of lands to be transferred to the University of Alberta Properties Trust Inc.
- h)u) reviews and recommends approval of the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.

~~u~~)v) \_\_\_\_\_ reviews and recommends the university's long-range development plan and other master plans for university lands, and monitors individual project proposals for implications to the university's long-range planning and strategic vision.

~~v~~)w) \_\_\_\_\_ approves expenditures of a non-capital nature from the real property reserve fund.

#### Information Technology and Intellectual Property

~~w~~)x) \_\_\_\_\_ reviews reports, strategies and plans regarding physical infrastructure and resource optimization for University information technology systems.

~~x~~)y) \_\_\_\_\_ reviews and recommends new University policies on intellectual property and technology transfer and approves changes to policy in consultation with the Board Learning, Research and Student Experience committee.

#### Policy and Other Matters

~~y~~)z) \_\_\_\_\_ reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.

~~z~~)aa) \_\_\_\_\_ reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.

~~aa~~)bb) \_\_\_\_\_ considers risks associated with items before the Committee and makes recommendations to the Board Audit and Risk Committee and the Board.

~~bb~~)cc) \_\_\_\_\_ considers other matters at the request of the Board.

### **3. Limitation on Delegation by the Board of Governors**

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) policy changes with significant institutional impact.
- b) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- c) policies for the control and regulation of pedestrian and vehicle traffic on University lands.
- d) guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets
- e) the annual consolidated and capital budgets.
- f) international student tuition fees.
- g) exceptional increases to domestic student tuition greater than the Consumer Price Index, as allowed under the Alberta *Post-Secondary Learning Act* and its associated Regulations.
- h) new mandatory non-instructional fees.
- i) increases to mandatory non-instructional fees greater than 5%, as allowed under the Alberta *Post-Secondary Learning Act* and its associated Regulations.
- j) residence rental rate increases greater than 5.0%.
- k) meal plan rate increases greater than the most recently reported Alberta Consumer Price Index plus 1.0%.
- l) parking rates.
- m) capital expenditures as determined by the University's Capital Expenditure Authorization Request Policy.
- n) the acquisition or disposition of real property as determined by the University's Real Property Compliance Policy.
- o) lands to be transferred to the University of Alberta Properties Trust Inc.
- p) the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.
- q) the university's long-range development plan and other master plans for university lands.

- r) recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

#### 4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

##### Voting Members

###### *Ex-officio (3)*

- a) The Board Chair, by virtue of office
- b) The Chancellor, by virtue of office
- c) The President and Vice-Chancellor, by virtue of office

###### *Appointed (7)*

- d) No more than seven voting members of the Board of Governors or external members of the public, as appointed by the Board or its delegate

##### Non-voting Members

###### *Non-Voting Officials appointed by the President*

- e) Provost and Vice-President (Academic)
- f) Vice-President (Facilities and Operations)
- g) Vice-President (Finance and Administration)
- h) Vice-President (University Relations)
- i) University Secretary
- j) Committee Secretary
- k) Other officers, as determined by the President

##### Chair/Vice-Chair

- l) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- m) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

#### 5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board's General Committee Terms of Reference.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

#### 6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

##### Decision History:

DATE	DECISION-MAKER	DECISION
2019-05-28	Board Finance and Property Committee	Recommended
2019-06-14	Board of Governors	Approved
2020-05-26	Board Finance and Property Committee	Recommended



**1. Mandate and Role of the Committee** – The Board Finance and Property Committee assists the Board of Governors in fulfilling its governance responsibilities by providing strategic oversight, insight and foresight with respect to all significant financial and property matters of the University.

**2. Areas of Responsibility**

Without limiting the generality of the foregoing, the Committee:

Financial

- a) reviews and monitors quarterly financial statements with respect to operating and capital funds.
- b) reviews and approves capitalization of funds to endowments.
- c) reviews and recommends approval of the annual consolidated and capital budgets.
- d) reviews and approves authorized signing officers in respect of all banking and safekeeping;
- e) monitors trends and key budget drivers affecting the University and identifies the strategic implications of those trends for the University's future needs.
- f) with input from the Board Reputation and Public Affairs Committee, reviews the annual report on donations and gifts, monitors fundraising performance, and considers implications, within the Board Finance and Property Committee mandate, for the mission and sustainability of the University.
- g) reviews, approves, and recommends approval of internal loans, as determined by the university's Internal Loan Policy.

Tuition and Fees

- h) approves increases to domestic student tuition fees equal to or less than the Consumer Price Index, as defined under the Alberta *Post-Secondary Learning Act* and its associated Regulations.
- i) reviews and recommends new mandatory non-instructional fees, and approves increases to existing mandatory non-instructional fees equal to or less than the agreed-upon weighted annual inflation with both a ceiling of 5.0% and a floor of 0%.
- j) approves new mandatory student instructional support fees, and changes to or deletions of existing mandatory student instructional support fees.
- k) reviews and recommends approval of international student tuition fees.
- l) approves the collection of fees on behalf of University of Alberta Students' Union and Graduate Students' Association.
- m) reviews and approves residence rental rate increases equal to or less than 5.0%.
- n) reviews and approves meal plan rate increases equal to or less than the most recently reported Alberta Consumer Price Index plus 1.0%.
- o) reviews and recommends approval of parking rates.

Facilities, Property and Capital Expenditures

- p) reviews, approves, and recommends approval of capital expenditures, as determined by the University's Capital Expenditure Authorization Request (CEAR) Policy.
- q) reviews and recommends approval of the acquisition or disposition of real property, as determined by the University's Real Property Acquisition and Disposition Procedures and as guided by the Capital Expenditure Authorization Request (CEAR) Policy approval limits.
- r) Identifies and monitors trends relating to the University's property and its deferred maintenance needs, and assesses the strategic impact of such trends and changes on the University.
- s) reviews quarterly planning reports for individual capital projects.
- t) reviews and recommends approval of lands to be transferred to the University of Alberta Properties Trust Inc.
- u) reviews and recommends approval of the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.

- v) reviews and recommends the university's long-range development plan and other master plans for university lands, and monitors individual project proposals for implications to the university's long-range planning and strategic vision.
- w) approves expenditures of a non-capital nature from the real property reserve fund.

Information Technology and Intellectual Property

- x) reviews reports, strategies and plans regarding physical infrastructure and resource optimization for University information technology systems.
- y) reviews and recommends new University policies on intellectual property and technology transfer and approves changes to policy in consultation with the Board Learning, Research and Student Experience committee.

Policy and Other Matters

- z) reviews and approves changes to existing University policies relating to the Committee's mandate, subject to the Limitations on Delegation as set out in paragraph 3.
- aa) reviews and recommends new University policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- bb) considers risks associated with items before the Committee and makes recommendations to the Board Audit and Risk Committee and the Board.
- cc) considers other matters at the request of the Board.

**3. Limitation on Delegation by the Board of Governors**

The Committee functions in accordance with the Principles for Board of Governors Delegation of Authority. The general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 2, the Board approves:

- a) policy changes with significant institutional impact.
- b) new policies relating to the Committee's mandate, as set out in the University's Policy Development Framework.
- c) policies for the control and regulation of pedestrian and vehicle traffic on University lands.
- d) guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets
- e) the annual consolidated and capital budgets.
- f) international student tuition fees.
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- j) residence rental rate increases greater than 5.0%.
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- m) capital expenditures as determined by the University's Capital Expenditure Authorization Request Policy.
- n) the acquisition or disposition of real property as determined by the University's Real Property Compliance Policy.
- o) lands to be transferred to the University of Alberta Properties Trust Inc.
- p) the appointment and renewal of terms of office of directors of the University of Alberta Properties Trust Inc.
- q) the university's long-range development plan and other master plans for university lands.

- r) recommendations and considers information and reports on matters that in the opinion of the Committee may pose significant risk to the University.

#### 4. Composition

The Committee functions in accordance with the Principles for Board of Governors Standing Committee Composition.

##### Voting Members

###### *Ex-officio (3)*

- a) The Board Chair, by virtue of office
- b) The Chancellor, by virtue of office
- c) The President and Vice-Chancellor, by virtue of office

###### *Appointed (7)*

- d) No more than seven voting members of the Board of Governors or external members of the public, as appointed by the Board or its delegate

##### Non-voting Members

###### *Non-Voting Officials appointed by the President*

- e) Provost and Vice-President (Academic)
- f) Vice-President (Facilities and Operations)
- g) Vice-President (Finance and Administration)
- h) Vice-President (University Relations)
- i) University Secretary
- j) Committee Secretary
- k) Other officers, as determined by the President

##### Chair/Vice-Chair

- l) The Committee Chair and Vice-Chair shall be selected from Committee membership Section 4(d) of these Terms of Reference.
- m) The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.

#### 5. Committee Process and Procedures

The Committee:

- a) functions in accordance with the Board's General Committee Terms of Reference.
- b) develops and follows an annual work plan addressing both strategic and routine issues.
- c) annually reviews the terms of reference of the Committee and recommends to the Board Governance Committee any required changes.

#### 6. Reporting to the Board of Governors

The Committee reports regularly to the Board of Governors with respect to its activities and decisions.

##### Decision History:

DATE	DECISION-MAKER	DECISION
2019-05-28	Board Finance and Property Committee	Recommended
2019-06-14	Board of Governors	Approved
2020-05-26	Board Finance and Property Committee	Recommended

Item No.3d

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>2021-2022 International Tuition Fee Proposal for Incoming Students</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Academic Planning Committee, approve tuition fees to take effect for the Fall 2021 intake of new international students, as set forth in Attachment 1.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Provost and Vice-President (Academic) and Vice-President (Finance & Administration)
Presenter(s)	Steven Dew, Provost and Vice-President (Academic) and Gitta Kulczycki, Vice-President (Finance & Administration)

**Details**

Responsibility	Provost and Vice-President (Academic) and Vice-President (Finance & Administration)
The Purpose of the Proposal is <i>(please be specific)</i>	To propose tuition fees for the Fall 2021 intake of new international students, compliant with the requirements imposed by Bill 19 and associated Alberta Tuition Framework and Guidelines.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>In 2019, the Board of Governors, on the recommendation of APC, approved a new program-based tuition model for incoming international students. The new model was implemented for the Fall 2020 intake of international students.</p> <p>Largely due to concerns about the impact that Covid-19 may have on our incoming international students, we are not proposing any changes to the current program-based rates for the Fall 2021 intake.</p> <p>Note, however, that the attachment includes a number of programs that have been reclassified to fit into the new tuition model and as a result an international rate needed to be established. These programs were previously classified as “Cost Recovery” but no longer meet the updated definition of Cost Recovery. All listed are confirmed to be tuition fee regulated going forward.</p> <p>Note that this proposal applies only to international students admitted for the Fall 2021 term. Current international students admitted prior to Fall 2020 (the first intake in the program-based model) will continue to be assessed tuition based on their registration and are subjected to annual increases approved by the Board of Governors.</p>
Supplementary Notes / context	

**Engagement and Routing** (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> <li>● Office of the Provost and Vice-President (Academic)</li> <li>● Office of the Vice-President (Finance and Administration)</li> <li>● Strategic Analysis and Data Warehouse</li> <li>● Office of the Registrar</li> </ul>
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<p>&lt;For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a>&gt;</p>	<ul style="list-style-type: none"> <li>• Faculty of Graduate Studies and Research</li> <li>• Office of Resource Planning</li> <li>• University of Alberta International</li> </ul>
	<p><b><u>Those who have been consulted:</u></b></p> <ul style="list-style-type: none"> <li>• Tuition Budget Advisory Committee (including representatives of the Students' Union and the Graduate Students' Association)</li> <li>• Deans' Council</li> <li>• President's Executive Committee</li> </ul>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>APC - May 20, 2020 (for recommendation) BFPC - May 26, 2020 (for recommendation) Board of Governors - June 19, 2020 (for approval)</p>

**Strategic Alignment**

<p>Alignment with <i>For the Public Good</i></p>	<p><b>Build</b> a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world. <b>Sustain</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p>			
<p>Alignment with Institutional Risk Indicator</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0"> <tr> <td> <input checked="" type="checkbox"/> Enrolment Management  <input type="checkbox"/> Faculty and Staff  <input checked="" type="checkbox"/> Funding and Resource Management  <input type="checkbox"/> IT Services, Software and Hardware  <input type="checkbox"/> Leadership and Change  <input type="checkbox"/> Physical Infrastructure                 </td> <td> <input type="checkbox"/> Relationship with Stakeholders  <input type="checkbox"/> Reputation  <input type="checkbox"/> Research Enterprise  <input type="checkbox"/> Safety  <input type="checkbox"/> Student Success                 </td> </tr> </table>		<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p><i>Post-Secondary Learning Act of Alberta</i> APC Terms of Reference BFPC Terms of Reference</p>			

Attachments

1. Proposed Tuition Rates for Incoming International Student 2021/22 (7 pages)

*Prepared by:* Kathleen Brough, Senior Administrative Officer, Office of the Provost and Vice-President (Academic)

## International Tuition Proposal 2021-22

### 1. Undergraduate Program Based Tuition Bands

Note: These bands exclude the following programs: Law, Pharmacy, Dentistry, Dental Hygiene, and Medicine.

International Undergraduate Cohort	2020-21 Program Total	2021-22 Program Total	Credits
Faculty of Engineering Degree Programs*	Program Total \$158,000 Annual Rate \$39,500	Program Total \$158,000 Annual Rate \$39,500	Varies*
Faculty of Business Degree Programs	Program Total \$105,000 Annual Rate \$35,000	Program Total \$105,000 Annual Rate \$35,000	90
Degree Programs in: Faculty of Arts, Faculty of Agricultural Life and Environmental Sciences, Faculty of Kinesiology Sport and Recreation, Faculty of Science, Faculty of Open Studies	Program Total \$118,000 Annual Rate \$29,500	Program Total \$118,000 Annual Rate \$29,500	120
Degree Programs in: Augustana Faculty, Faculte Saint Jean, Faculty of Education, Faculty of Native Studies, Faculty of Nursing, Faculte Saint Jean, Augustana Faculty	Program Total \$108,000 Annual Rate \$27,000	Program Total \$108,000 Annual Rate \$27,000	120
BSc in Radiation Therapy	Program Total \$147,500 Annual Rate \$36,875	Program Total \$147,500 Annual Rate \$36,875	150
BSc in Medical Laboratory Science	Program Total \$92,430 Annual Rate \$30,810	Program Total \$92,430 Annual Rate \$30,810	94

\*Engineering programs vary slightly in credits pending students' choice in registrations. The credits guaranteed for a program will be communicated at the time of admission.

## 2. Bridging Program Per Course Rate

International Undergraduate Cohort	2020-21 Per Course	2021-22 Per Course
Bridging Program – (All Programs)	\$2,950	\$2,950

## 3. Law, Pharmacy, Dentistry, Dental Hygiene, and Medicine

International Undergraduate Cohort	2020-21 Program Total	2021-22 Program Total	Credits
Doctor of Pharmacy (Pharm D) (4 yrs)	Program Total \$200,000 Annual Rate \$50,000	Program Total \$200,000 Annual Rate \$50,000	141
Juris Doctors (JD) Program (3 yrs)	Program Total \$141,942.78 Annual Rate \$47,314.26	Program Total \$141,942.78 Annual Rate \$47,314.26	92
Doctor of Dental Surgery (4 yrs)	Program Total \$357,045.80 Annual Rate \$89,261.44	Program Total \$357,045.80 Annual Rate \$89,261.44	214
Bachelor of Science in Dental Hygiene (3 yrs)	Program Total \$101,968.92 Annual Rate \$33,989.64	Program Total \$101,968.92 Annual Rate \$33,989.64	99.5

## 4. College Saint-Jean

International College	2020-21 Program Total	2021-22 Program Total	Credit
College Saint-Jean – Diploma (2 yrs)	\$25,000	\$25,000	60
College Saint-Jean – Certificate (1 yrs)	\$12,500	\$12,500	30

## 5. Undergraduate Per Course Rate

Per Course Items	2020-21 Payment per Course (Indexed to 3 units of Course Weight)	2021-22 Payment per Course (Indexed to 3 units of Course Weight)
Rehabilitation Medicine – Undergraduate Special and Visiting Students only	\$2950	\$2950

Medicine and Dentistry – Undergraduate Special and Visiting Students only	\$2950	\$2950
English Language School – All courses taken by Undergraduate or Graduate Students	\$2950	\$2950

#### 6. Thesis based tuition for PhD and Masters Programs

International Graduate Cohort	2020-21 Program Total	2021-22 Program Total	Years
Thesis Based Masters (All Specializations)	Program Total \$34,800 Annual Rate \$8,700	Program Total \$34,800 Annual Rate \$8,700	4 Years
PhD (All Specializations)	Program Total \$52,200 Annual Rate \$8,700	Program Total \$52,200 Annual Rate \$8,700	6 Years
All Programs – International Graduate Tuition Increases (offset by equivalent financial support)	\$4000	\$4000	

#### 7. Course Based Masters-Standard Fee Index and Program Tuition

Note: This rate excludes some specialized programs such as Integrated Petroleum Geoscience, Master of Public Health etc.

International Graduate Cohort	2020-21 3 Credit Course	2021-22 3 Credit Course	Fall and Winter
Standard Course Based Master's	\$1,864.30	\$1,864.30	N/A
All Programs – International Graduate Tuition Increase (offset by equivalent financial support)	N/A	N/A	\$4,000

#### 8. Specialized Course Based Masters Tuition for Masters in Business Administration (MBA) and Masters of Engineering (MEng)

International Graduate Cohort (MBA and MEng)	2020-21 Program Total	2021-22 Program Total	Credits

Master's in Engineering (All Specializations)	\$39,500	\$39,500	Varies
Master's in Business Administration	\$56,563.20	\$56,563.20	60
All Programs – International Graduate Tuition Increase (offset by equivalent financial support)	N/A	N/A	

**9. Master of Science – Integrated Petroleum Geosciences (Course Based)**

<b>International Graduate Cohort</b>	<b>2020-21 Per Course Rate</b>	<b>2021-22 Per Course Rate</b>
Master of Science – Integrated Petroleum Geosciences (Course Based)	\$3,099.24	\$3,099.24

**10. Previously Classified Cost Recovery**

The programs below have been reclassified to fit into the new tuition model and as a result an international rate needs to be established. These programs were previously classified as “Cost Recovery” but no longer meet the updated definition of Cost Recovery. All listed are confirmed to be tuition fee regulated going forward.

**A) Conversion of Graduate Certificate Programs**

<b>Graduate Certificate Program</b>	<b>2020-21 Per Course Rate</b>	<b>2021-22 Proposed Per Course Rate</b>	<b>\$ Value Difference</b>	<b>2019-20 Enrollment Numbers</b>
Certificat d'études superieures en administration et leadeurship scolaire	\$1,400	\$1,864.30	\$464.30	0
Certificate in School Leadership	\$1,400	\$1,864.30	\$464.30	0
Post-Baccalaureate Certificate in Pain Management – REHAB 535/536/537	\$1,200	\$1,864.30	\$664.30	3

Post-Baccalaureate Certificate in Sexual Health	\$900	\$1,864.30	\$964.30	2
Post-Baccalaureate Certificate in Stroke Rehabilitation – REHAB 540/541/542	\$1,200	\$1,864.30	\$664.30	3
Post-Baccalaureate Certificate in Teaching and Learning in Higher Education – EDPS 560/561	\$1,000	\$1,864.30	\$864.30	0
Post-Baccalaureate Certificate in Indigenous Sport and Recreation	\$1,700	\$2,000	\$300	0
Post-Baccalaureate Certificate in Sports and Recreation Management	\$2,000	\$2,000	\$0	1

**B) Conversion of Course Based Master Programs**

<b>Graduate Master Program</b>	<b>2020-21 Per Course Rate</b>	<b>2021-22 Proposed Per Course Rate</b>	<b>\$ Value Difference</b>	<b>2019-20 Enrollment Numbers</b>
Master of Education in Curriculum and Pedagogy – ONLINE	\$1,022	\$1,864.30	\$842.30	1
Master of Education in Educational Studies	\$1,635.20	\$1,864.30	\$229.10	0
Master of Education in Health Science (HSE)	\$1,600	\$1,864.30	\$264.30	0

Master of Library & Information Science – ONLINE	\$1,022	\$1,864.30	\$842.30	6
Master of Science in Internetworking*	\$2,200	\$2,200	\$0	39
Master of Science Specialization Program in Multimedia	\$2,000	\$2,000	\$0	60
Master of Science in Urban and Regional Planning	\$2,713.72	\$2,713.72	\$0	6
Master of Accounting	\$4,200	\$4,200	\$0	0
Master of Arts in Communications Technology**	[1] \$702	\$3,250		3

\*In addition to the Master of Science in Internetworking course rate a program fee of \$3,500 is charged.

\*\* Fees effective for Spring 2021. In addition to the \$702 Master of Arts in Communications Technology[2] students are assessed a \$3000/year program fee which has also been amalgamated in the new rate.

C) Conversion of Graduate Thesis base Programs

Thesis based Graduate Program	2020-21 Per Program Annual Rate	2021-22 Proposed Annual Rate	\$ Value Difference	2019-20 Enrollment Numbers
Master of Science in Orthodontics, Master of Science in Periodontology	\$16,126.28	\$16,126.28	\$0	3

<b>Doctor of Philosophy in Orthodontics,</b>  <b>Doctor of Philosophy in Periodontology</b>	<b>\$11,162.40</b>	<b>\$11,162.40</b>	<b>\$0</b>	<b>2</b>
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**D) Graduate Programs with no expected International Registration**

<b>Graduate Program</b>	<b>Rate</b>
<b>Post-Master’s Certificate in Business Fundamentals</b>  <b>Post-Master’s Certificate in Innovation and Entrepreneurship,</b>  <b>Pharmacy – Post Professional PharmD Program,</b>  <b>Post-Baccalaureate Certificate in Bridging to Canadian Physical Therapy,</b>	<b>Generally for these programs there is no expected international student registration. If there were to be the course value would be indexed to the approved domestic rate for that given year.</b>

**E) Undergraduate Certificate Program assessed tuition on a course basis**

<b>Undergraduate Program</b>	<b>2020-21 Per Course Rate</b>	<b>2021-22 Proposed Per Course Rate</b>	<b>\$ Value Difference</b>	<b>2019-20 Enrollment Numbers</b>
<b>Certificate in Advanced Adolescent Literacy</b>	<b>[3] \$1,600</b>	<b>\$2,700</b>	<b>\$1,100</b>	<b>0</b>
<b>Certificate in Early Childhood Education</b>	<b>[4] \$1,200</b>	<b>\$2,700</b>	<b>\$1,500</b>	<b>0</b>
<b>Certificate in Teaching Students with Complex Communication Needs</b>	<b>[5] \$1,600</b>	<b>\$2,700</b>	<b>\$1,100</b>	<b>0</b>

<b>Aboriginal Governance &amp; Partnership Certificate Program</b>	<b>\$699</b>	<b>\$2,700</b>	<b>\$2,001</b>	<b>0</b>
<b>BSc in Environmental and Conservation Science (Yukon College)</b>	<b>\$532.08</b>	<b>\$2,950</b>	<b>\$2,417.92</b>	<b>0</b>

Note these are aligning with their approved Faculty Rates.

**F) International Visiting Student Program Rate**

<b>Undergraduate Program</b>	<b>2020-2021 Per Year Rate</b>	<b>2021-2022 Proposed Per Year Rate</b>	<b>\$ Value Difference</b>	<b>2019-20 Enrollment Numbers</b>
<b>International Visiting Student Program</b>	<b>\$2,481</b>	<b>\$3,100</b>	<b>\$619</b>	<b>107</b>

**G) MBA Cost Recovery conversion to Tuition Regulated**

<b>Previous Cost Recovery MBA Graduate Programs</b>	<b>2020-21 Per Program Rate</b>	<b>2021-22 Proposed Program Rate</b>	<b>\$ Value Difference</b>	<b>2019-20 Enrollment Numbers</b>
<b>Executive Master of Business Administration</b>	<b>\$67,000</b>	<b>\$77,500</b>	<b>\$10,500</b>	<b>1</b>
<b>Master of Business Administration – Fort McMurray</b>	<b>\$45,000</b>	<b>\$52,500</b>	<b>\$7500</b>	<b>0</b>

**Governance Executive Summary**  
**Action Item**

<b>Agenda Title</b>	<b>Long Range Development Plan Amendment 2020 (Michener Park)</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee and the General Faculties Council Facilities Development Committee, approve the removal of Michener Park (Section 6.3) from the Long Range Development Plan 2002.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Andrew Sharman, Vice-President (Facilities and Operations)
Presenter(s)	<ul style="list-style-type: none"> <li>• Emily Ball, Director, Community Relations, Government and Community Relations, University Relations</li> <li>• Ben Louie, University Architect, Planning and Project Delivery, Facilities and Operations</li> </ul>

**Details**

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To amend the university's Long Range Development Plan (LRDP) by removing Section 6.3, Michener Park, located on South Campus.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>Development of university lands is governed through the <i>Post-secondary Learning Act</i> (PSLA) by means of a Long Range Development Plan (LRDP). An LRDP guides the planning and development over a 30-year window, directing physical growth at campus sites across the university. An LRDP is derived from, and is responsive to, the university's strategic directions and is, therefore, a flexible document that is amended as substantial alterations are made to the university's guiding directions. The PSLA also outlines the consultation process required for amending an LRDP including a defined consultation protocol.</p> <p>As changes to the LRDP are made over time, the original 2002 document remains physically unchanged, but amendments are posted to the <a href="#">Campus Planning website</a>.</p> <p>Michener Park residences will be closed effective August 1, 2020. The university has received approval from the Government of Alberta to transfer the Michener Park site to the University of Alberta Properties Trust Inc. (UAPTI) for future development, although such a transfer has yet to occur.</p> <p>Michener Park is currently zoned as an Alternate Jurisdiction and planned under section 6.3 of the University of Alberta Long Range Development Plan 2002. At the point Michener Park is transferred to the UAPTI, it would no longer be appropriate for its use to be guided by the LRDP. Rather, it will fall under the municipal zoning regulations and any development will follow the municipal planning and development process. As a result, it is necessary to delete section 6.3 of the University of Alberta Long Range Development Plan. This would be the first instance of the University of Alberta removing a parcel of land from its LRDP.</p>

Item No. 3e

	<p>The Board of Governors has the authority to amend the LRDP. If approved, the Board of Governors will submit a package to the Minister of Advanced Education including details of the consultative process. The role of the Minister is to ensure the university has met the obligations of the government's community consultation protocol; not to approve the amendment itself.</p> <p>A summary of the university's community consultation is included in Attachments 2 and 3.</p>
Supplementary Notes / context	

**Engagement and Routing** (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p>	<p><b><u>Those who are actively participating:</u></b></p> <ul style="list-style-type: none"> <li>• GFC Facilities Development Committee (FDC)</li> <li>• Board Finance and Property Committee (BFPC)</li> <li>• Board of Governors</li> </ul>
	<p><b><u>Those who have been consulted:</u></b></p> <ul style="list-style-type: none"> <li>• Ancillary Services' staff and residents of Michener Park</li> <li>• Campus Recreation, Faculty of Kinesiology, Sports &amp; Recreation</li> <li>• City of Edmonton Planning and Development Services</li> <li>• Members of South Campus Consultation Group, residents of neighbouring communities, and the general public.</li> </ul>
	<p><b><u>Those who have been informed:</u></b></p> <ul style="list-style-type: none"> <li>• The LRDP Amendment process was led jointly by Government and Community Relations (University Relations) and the Office of the University Architect (Facilities and Operations).</li> <li>• A comprehensive summary of the significant campus community and public consultation that has been undertaken is attached.</li> </ul>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Facilities Development Committee (FDC): May 21, 2020 Board Finance and Property Committee (BFPC): May 26, 2020 Board of Governors: June 19, 2020 (for approval)</p>

**Strategic Alignment**

<p>Alignment with <i>For the Public Good</i></p>	<p><b>SUSTAIN: 23. OBJECTIVE:</b> <i>Ensure that the University of Alberta's campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</i></p>													
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0"> <tr> <td><input type="checkbox"/> Enrolment Management</td> <td><input type="checkbox"/> Relationship with Stakeholders</td> </tr> <tr> <td><input type="checkbox"/> Faculty and Staff</td> <td><input checked="" type="checkbox"/> Reputation</td> </tr> <tr> <td><input checked="" type="checkbox"/> Funding and Resource Management</td> <td><input type="checkbox"/> Research Enterprise</td> </tr> <tr> <td><input type="checkbox"/> IT Services, Software and Hardware</td> <td><input checked="" type="checkbox"/> Safety</td> </tr> <tr> <td><input type="checkbox"/> Leadership and Change</td> <td><input type="checkbox"/> Student Success</td> </tr> <tr> <td><input checked="" type="checkbox"/> Physical Infrastructure</td> <td></td> </tr> </table>		<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders	<input type="checkbox"/> Faculty and Staff	<input checked="" type="checkbox"/> Reputation	<input checked="" type="checkbox"/> Funding and Resource Management	<input type="checkbox"/> Research Enterprise	<input type="checkbox"/> IT Services, Software and Hardware	<input checked="" type="checkbox"/> Safety	<input type="checkbox"/> Leadership and Change	<input type="checkbox"/> Student Success	<input checked="" type="checkbox"/> Physical Infrastructure	
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<input type="checkbox"/> Leadership and Change	<input type="checkbox"/> Student Success													
<input checked="" type="checkbox"/> Physical Infrastructure														
<p>Legislative Compliance and jurisdiction</p>	<ul style="list-style-type: none"> <li>• Post-Secondary Learning Act (PSLA)</li> <li>• PSLA Land Use Regulation</li> <li>• GFC Facilities Development Committee Terms of Reference</li> <li>• Board Finance and Property Committee Terms of Reference</li> <li>• Taking Care of our Campuses: Integrated Asset Management Strategy</li> </ul>													

Attachments:

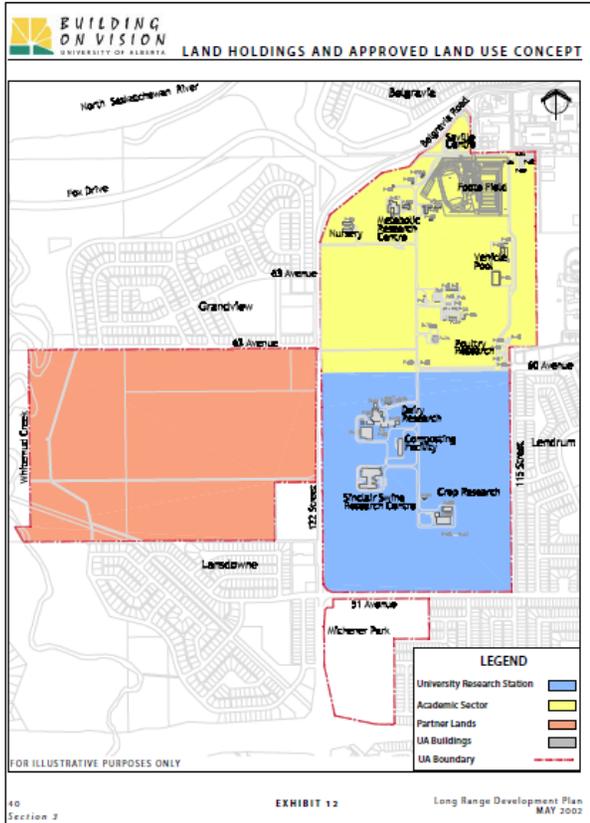
Item No. 3e

1. Michener Park Maps (2002 LRDP Map, Michener Park & Lease Areas, and Proposed 2020 LRDP Amendment (1 page)
2. Consultation Report – Michener Park LRDP Amendment 2020 (3 pages)
3. Summary of Comments – Michener Park LRDP Amendment 2020 Open House (4 pages)

*Prepared by:* Ben Louie  
University Architect, Planning and Project Delivery, Facilities and Operations  
ben.louie@ualberta.ca

Emily Ball  
Director, Community Relations, University Relations  
emily.ball@ualberta.ca

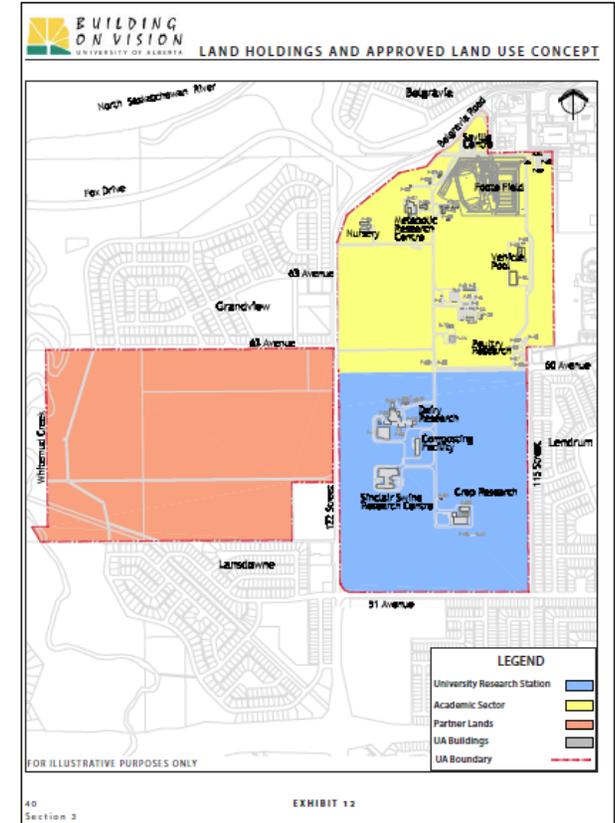
## 2002 LRDP Map



## Michener Park & Lease Areas



## Proposed 2020 LRDP Amendment



## **South Campus – Michener Park Long Range Development Plan (LRDP) Amendment 2020**

### **Consultation Report**

The University of Alberta (U of A) follows the Post-Secondary Learning Act (PSLA), which outlines the consultation process required for an amendment for the Long Range Development Plan (LRPD). The university also follows a consultation protocol outlined in Appendix 18 of the LRDP, which was submitted to the Minister in 2004. An outline of community engagement and how the U of A fulfilled the consultation requirements outlined in Appendix 18 is demonstrated below.

### **Appendix 18 Processes and U of A Actions**

Appendix 18 states:

#### Long Range Development Planning and Amendments

- a) When the University undertakes a new Long Range Development Plan, or amends its existing LRDP, owners of land within 60 metres of the University's land and the host municipality will be notified. Such notification will include date, time and location for an information session to present the conceptual plans, or substantive changes, and an invitation to review, and comment on the planning, in writing 21 days following the presentation.
  - I. U of A action - The U of A mailed letters of notification to owners of land within 60 metres of the U of A South Campus which contained the date, time and location for an information session (open house) to present the amendment for South Campus – Michener Park and an invitation to review, and comment on the amendment in writing 21 days following the presentation (open house). The University also e-mailed letters of notification for the open house to the host municipality, The City of Edmonton. The mailing list was identified by the City of Edmonton, Urban Form and Corporate Strategic Development, City Planning, according to homeowner title information. The letters to residents 60 metres of the University of Alberta South Campus and the City of Edmonton were mailed to allow two weeks advanced notification.
- b) Notification will take the form of a directed letter to each identified stakeholder in a). The planning document will be available through the communications website of the University.

- I. U of A action – The notification in section a) indicated where information for the amendment planning document could be found on U of A website. Please note additional communication tools were used to advertise the November 27, 2019 open house:
    - i. Portable road signs were placed in two locations two weeks prior to the open houses advertising the open houses.
    - ii. An advertisement was placed in the Edmonton Journal newspaper on November 13, 2019 advertising information about the November 27, 2019 open house.
    - iii. Information about the open house was placed on the U of A website on the Community Relations website and the main U of A homepage under Events.
    - iv. Letters of invitation to the open house were also emailed to:
      - Councillor Michael Walters, City of Edmonton
      - Member of the Legislative Assembly of Alberta for Edmonton – Strathcona, Rachel Notley
      - Member of Parliament for Edmonton Strathcona - Heather MacPherson
- c) Following this presentation the University shall publish, within a newspaper, newsletter or publication circulating in the areas in which the University's lands are located, notification of the public of its opportunity to review the proposed LRDP, or amendments, and comment upon it (them). The proposed plan/amendments will be available upon the University's communications website. Comments will be received in writing up to 21 days of the notice.
- I. U of A Action - An ad was placed following the November 27, 2019 open house (which presented the amendment) in the Edmonton Journal newspaper on November 28, 2019 inviting the public to review the proposed amendment and provide comments indicating input would be received in writing up to 21 days of the notice/ad. The proposed amendment was made available on the University's communications website. Portable road signs were placed in two locations on November 28, 2019 for 21 days providing information on where to find the November 27, 2019 open house information and invited the public to view and comment on the materials presented at the open house.
- d) University administration will prepare a summary document that they believe accurately reflects the major concerns and comment expressed. This document will be reviewed by the

stakeholders identified in a), and will be modified until agreement is reached on accuracy. During the planning stage, these concerns will be considered.

- I. U of A action – A summary document from the November 29, 2017 open house (which presented the amendment) that reflected the major concerns and comments expressed from stakeholders was mailed to stakeholders identified in a). on February 5, 2020 with an invitation for stakeholders to send in comments regarding the summary document.
- e) Recommendations to the Board of Governors with respect to the LRDP and/or its amendments will include the consultation summary documents(s), and a document highlighting how administration has used these comments to develop the Plan and recommendations.
- I. U of A action – Attached please find the summary document and information highlighting how administration has used comments from the November 27, 2019 open house to further develop the amendment.
- f) Upon Board of Governors approval, the LRDP and/or amendments will be sent to the Minister for review and confirmation that the contents of the amendment/LRDP comply with the Regulations of the Post-Secondary Learning Act.
- I. U of A action – Once the LRDP Amendment is approved by the Board of Governors, the amendment will be sent to the Minister of Advanced Education for confirmation that the consultation process has been followed.



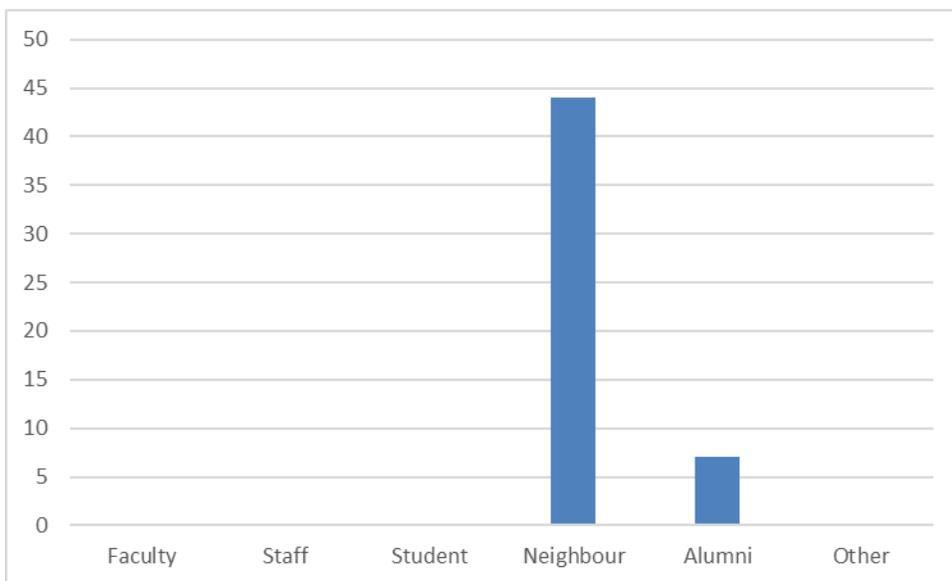
**University of Alberta  
South Campus – Michener Park  
Long Range Development Plan Amendment  
Open House**

**Wednesday, November 27, 2019  
5:00 – 8:00 p.m.  
Saville Community Sports Centre West  
Classroom #4  
11610-65th Ave**

**Summary of Comments**

**55 Comment Forms submitted:**

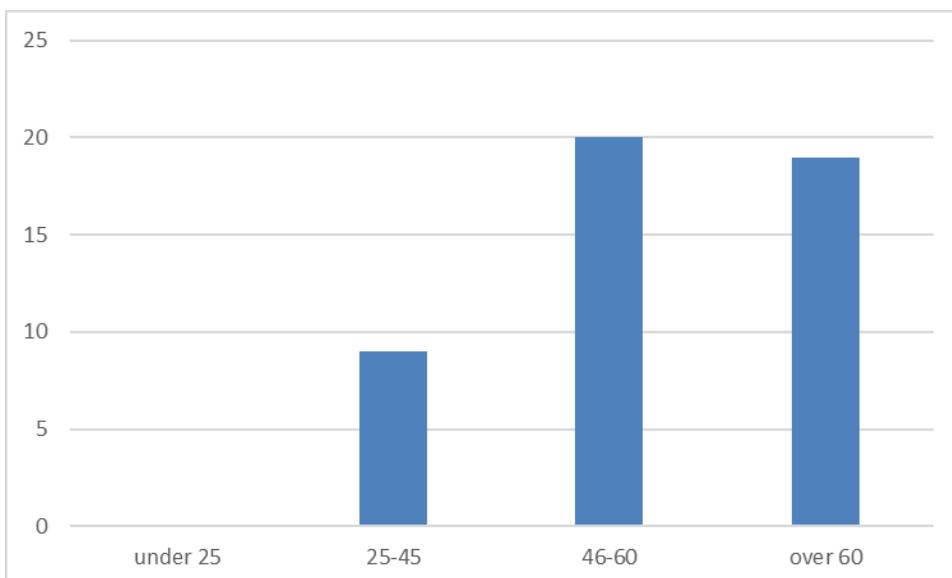
1. Please identify (circle) which of the descriptions below best portrays you:



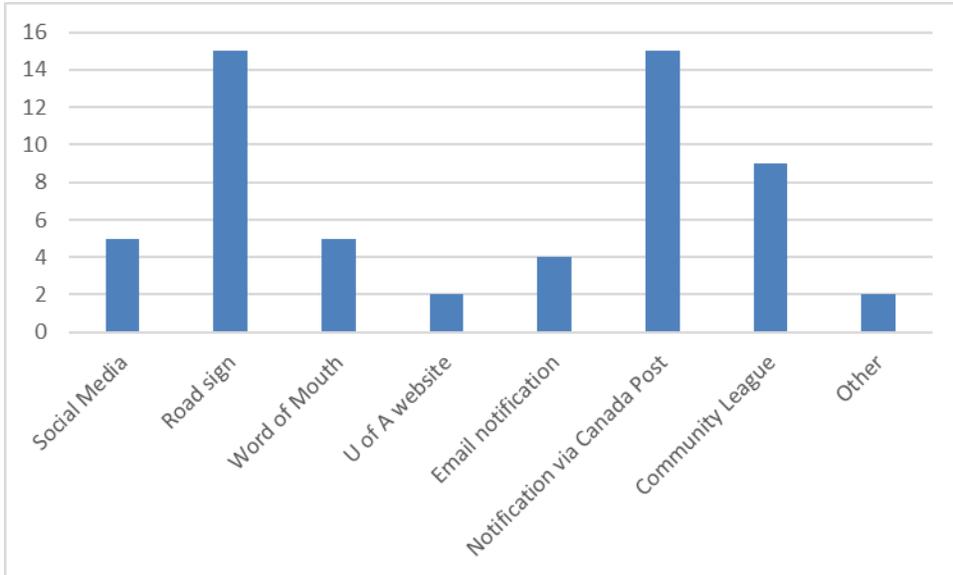
2. If you chose “Other” above, please tell us about yourself.

City of Edmonton, Citizen of Edmonton, Live next to proposed development, U of A Senator, Member of Saville Sports Centre tennis

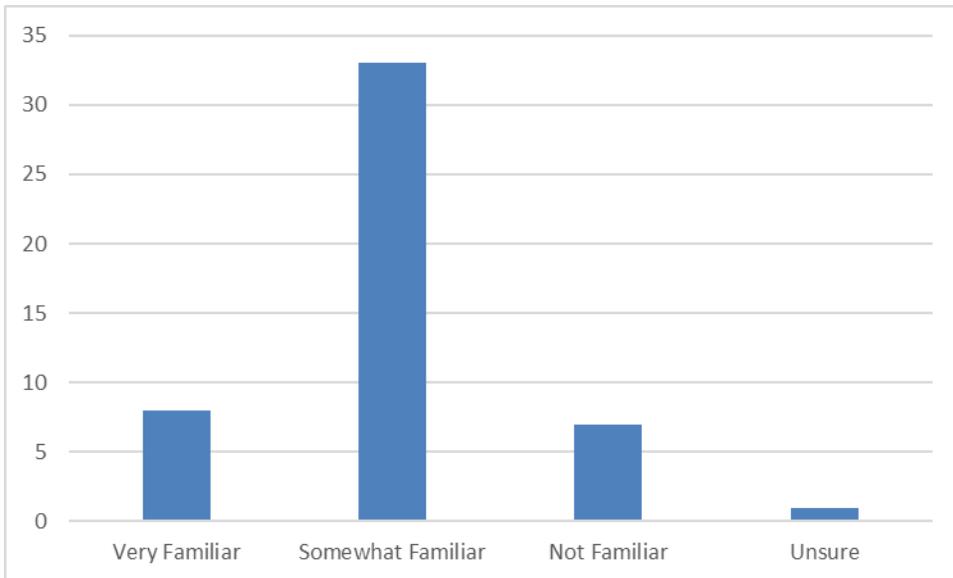
3. Please check the age category that describes you.



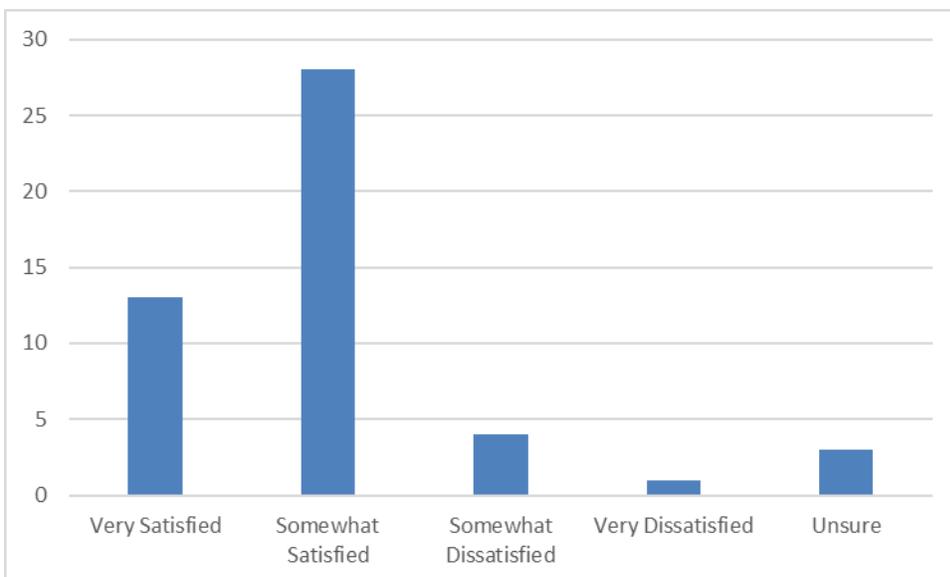
4. How did you hear about this open house?



5. Are you familiar with the purpose of the South Campus – Michener Park Long Range Development Plan Amendment?



6. Did the material that was presented explain the purpose of the South Campus – Michener Park Long Range Development Plan Amendment?



7. Please provide comments regarding Board #2.

Thematic summary:

- **Presentation:** Nice facts, clear and easy to understand, helpful to understand what is going on, provided some history, totally adequate. **Positive general comment.**
- **Response to information:** Information is clear, not much to see at this point, good to have some background, vague. Would have liked a bit more info on how the land was appropriated and with what restrictions, I expected the session to be more informative. **Positive general comment. Will forward community's expectation to UAPTI.**
- **Future planning:** What happens to the site if it is not part of the LRDP and the UAPTI does not get approved for some time? What provisions are there for family accommodations elsewhere? Why is Michener Park being removed from the LRDP? **GoA approved transfer of property to UAPTI. Alternate option for family accommodation arrangement has been arranged. Michener Park is removed from the LRDP as it will be developed by UAPTI in future and not the University.**

8. Please provide comments regarding the proposed 2020 LRDP Amendment on Board #4

Thematic summary:

- **Presentation:** Exciting, very clear, exciting opportunity for some environmentally friendly innovative leading edge mixed use development, the board is clearly presented, we are glad to see it being put into the trust, removal of the Michener Park area from the 2002 LRDP is appropriate. **Positive general comments.**
- **Concerns:** The long range plan was vague since it was last revised, with the current economic situation in Alberta I think the LRDP is not realistic, I care about is the availability of affordable student housing. **The LRDP is intended as a long range planning document with a 30 year planning horizon. Remark noted for future consideration.**
- **Site safety:** I have concerns regarding timelines for development - or rather the lack there of. Derelict, empty buildings attract squatters. They become a fire hazard and do not make for a safe and healthy living community. What is the plan for Michener Park after August 2020? The university should explain how the site will be policed by the U of A and then the Trust. I believe there is a high probability the site will be vandalized and squatted quickly and it will be hard to manage the vandalization and squatting without a substantial amount of money. Razing the area might be the only solution. It seems likely possible the trust will find it hard to develop the site. **Remark noted for operational and implementation consideration.**
- **Future planning:** As a resident of Malmo I would really like to see mixed use, transit orient development. It should be not be low density housing form. More medium and high density, family orientated units with high quality green space and plazas and playgrounds. Having the area be developed oriented to families allows mature schools in the area to thrive. **Suggestion to be forwarded to UAPTI for future planning consideration.**

9. Please provide any further general comments you may have:

Thematic summary:

- **Presentation:** Clear, concise with knowledgeable presenters. Thanks for opportunity to learn of this change. Hope all goes well with the transfer. Looking forward to providing input to trust of plans - hope they maintain character of neighbourhood - respect trees, low density etc. **Positive general comment.**
- **UAPTI:** The land transfer makes sense financially for the university so long as the demolition occurs promptly. When will the land be transferred to the Trust? Does the trust "own" the land? Can it be sold? Do all profits go into an

endowment? Are other properties schedules to be transferred? As a neighbour I am very concerned with the long range plans of the U of A regarding land use. What role will neighbouring communities have in planning, design and type of buildings? Can zoning be commercial? **Questions, concerns and suggestion to be forwarded to UAPTI for future planning consideration.**

- **Site security:** As we reside in a property that backs on to Michener Park in Malmo our priority is the security and safety once it is shut down in August. Details of how it will be monitored are important to us. Under no circumstances should access to the site (even during demolition) be opened from the western end of 48 avenue. **Remarks noted for operational and implementation consideration.**
- **Communications:** Would like to know if the outdoor tennis courts will still be accessible after August 2020. What is the plan for the U of A tower and Vanier Place? Keeping a website current with information such as timeline, land plans as they develop would be greatly appreciated by your neighbours. I hope the trust will continue to be transparent with the community about what the plans are for this land. As this is the first time U of A is transferring land to a trust, expect clear communication from that group going forward in conjunction with the COE planning. How will you keep us all informed? Moving forward my hope is continued communication with the surrounding neighbourhoods and ensuring the plans for Michener Park fit with the surrounding community. **Operation of current tennis courts will be operational until August 2021. Questions, concerns and suggestions on communication flow to neighbours to be forwarded to UAPTI for future planning consideration.**
- **West 240:** The amendment step appears straight forward and necessary. My motivations for coming was to see that there were no changes to the other parts of south Campus (i.e. West 240). Would like to hear of any plans for the West 240. **LRDP amendment does not impact on Sector 14 of South Campus (West 240).**
- **Planning:** Looking forward to the development plan for Michener Park especially how to integrate it in a community inclusive way with Malmo Plains. I am happy that you are freeing this property up for future development. I would strongly encourage steps to be taken to ensure that the vacant properties not be allowed to stand empty, This presents a safety and livability concern for your neighbours. Would rather see it leveled and used as temp park/ride until future development is agreed upon than leaving buildings up. Multipurpose space such as maker space rather than traditional retail would be good/positive and mixed with residential (higher density). Would love to still see mature U of A students and families here. We worry about private development of university lands. We worry about increased traffic and decreased safety for our neighbourhoods. To be a success the developer should work with the surrounding communities to communicate and co-design vision, goals and desired outcomes for the development. **Suggestions to be forwarded to UAPTI for future planning consideration.**

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>Disposition of Land, Lot 84</b>
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**Motion**

<p>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:</p> <p>a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property known as Lot 84, located at 8327 112 Street, Edmonton, Alberta, and legally described as:</p> <p style="padding-left: 40px;">Lots 18 to 22 Block 159 Plan I23A EXCEPTING THEREOUT ALL MINES AND MINERALS</p> <p>and</p> <p>b) make an application to the Minister of Infrastructure for the required approval in the form of a Ministerial Order for the granting of the disposition, as set forth in Attachment 3.</p>	
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**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Andrew Sharman, Vice-President (Facilities and Operations)
Presenter(s)	Andrew Sharman, Vice-President (Facilities and Operations)

**Details**

Office of Administrative Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To seek approval for the disposition of parking Lot 84, located at 8327 112 Street, Edmonton, Alberta and, subsequently, request the approval of the Minister of Infrastructure in the form of a Ministerial Order.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The property, known as parking Lot 84, was purchased by the university when it became available in 1989 and 1996, as a strategic acquisition adjacent to north campus. The property has been used as a surface parking lot since acquisition. The university's current Integrated Asset Management Strategy has identified this surface parking lot as non-core to the university's academic and research mission. Due to its location across from the Mazankowski Alberta Heart Institute, Alberta Health Services was approached about acquiring the land, but their Manager Land Services – North declined interest.</p> <p>As part of our usual consultation processes, Alberta Infrastructure asked that we provide additional information in the briefing note in order to comply with the recently updated Land Disposition Ministerial Order Approval Guideline (April 2020). The additional information requested clarifies the dates on which the land was purchased and how the disposition of Lot 84 would financially benefit the University (savings of maintenance and security costs, etc.). Alberta Infrastructure also wanted assurances that Alberta Health Services declined interest in Lot 84. Our Director of Real Estate Services liaised with the Manager, Land Services - North at AHS and confirmed their disinterest in the property. A copy of this email correspondence will be included as an appendix to the briefing note in the Ministerial Order request package that will be</p>

Item No. 3f

	sent to Alberta Infrastructure upon Board of Governors approval on June 19, 2020.
Supplementary Notes	Following consideration of this item by the Board Finance and Property Committee (BFPC) at its meeting of May 26, 2020, the attached briefing note was updated to include the additional information noted above. BFPC received the revised materials for information.

**Engagement and Routing** (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)  <For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a> >	<b><u>Those who are actively participating:</u></b>
	<ul style="list-style-type: none"> <li>• Director, Real Estate services – U of A</li> <li>• Vice President (Facilities and Operations) – U of A</li> </ul>
	<b><u>Those who have been consulted:</u></b>
	<ul style="list-style-type: none"> <li>• Manager Land Services – North – Alberta Health Services</li> <li>• Assoc. Vice President, Ancillary Services – U of A</li> </ul>
	<b><u>Those who have been informed:</u></b>
	<ul style="list-style-type: none"> <li>• Director, Community Relations – U of A</li> </ul>
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee: May 26, 2020 Board of Governors: June 19, 2020 (for approval)

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<b>SUSTAIN</b> <i>23. OBJECTIVE: Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</i> <i>i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</i>												
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing. <table border="1" style="width: 100%;"> <tr> <td><input type="checkbox"/> Enrolment Management</td> <td><input type="checkbox"/> Relationship with Stakeholders</td> </tr> <tr> <td><input type="checkbox"/> Faculty and Staff</td> <td><input type="checkbox"/> Reputation</td> </tr> <tr> <td><input checked="" type="checkbox"/> Funding and Resource Management</td> <td><input type="checkbox"/> Research Enterprise</td> </tr> <tr> <td><input type="checkbox"/> IT Services, Software and Hardware</td> <td><input type="checkbox"/> Safety</td> </tr> <tr> <td><input type="checkbox"/> Leadership and Change</td> <td><input checked="" type="checkbox"/> Student Success</td> </tr> <tr> <td><input checked="" type="checkbox"/> Physical Infrastructure</td> <td></td> </tr> </table>	<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders	<input type="checkbox"/> Faculty and Staff	<input type="checkbox"/> Reputation	<input checked="" type="checkbox"/> Funding and Resource Management	<input type="checkbox"/> Research Enterprise	<input type="checkbox"/> IT Services, Software and Hardware	<input type="checkbox"/> Safety	<input type="checkbox"/> Leadership and Change	<input checked="" type="checkbox"/> Student Success	<input checked="" type="checkbox"/> Physical Infrastructure	
<input type="checkbox"/> Enrolment Management	<input type="checkbox"/> Relationship with Stakeholders												
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<input type="checkbox"/> IT Services, Software and Hardware	<input type="checkbox"/> Safety												
<input type="checkbox"/> Leadership and Change	<input checked="" type="checkbox"/> Student Success												
<input checked="" type="checkbox"/> Physical Infrastructure													
Legislative Compliance and jurisdiction	<ul style="list-style-type: none"> <li>• <i>Post-secondary Learning Act, Section 67(1.1)(a)</i></li> <li>• Long Range Development Plan</li> <li>• Board Finance and Property Committee – Terms of Reference</li> </ul>												

Attachments:

1. Briefing Note (1 page)
2. Site Plan (1 page)
3. Board Resolution (1 page)

Prepared by: R. Craig Moore  
Director, Real Estate Services, Facilities and Operations  
craig.moore@ualberta.ca

**Disposition of Land, Lot 84**  
Real Estate Services  
Facilities and Operations**Background**

The property, known as parking lot 84, consists of five city lots and was purchased over two transactions by the university endowment in 1989 and 1996. At the time, there was consideration given to expanding the North Campus footprint to include all property east of 112 street and, when these particular lots became available, they were purchased as a strategic acquisition. To ensure these properties generated a return for the institution, a surface parking lot was developed and has been used accordingly since acquisition. The parking operation generates approximately \$225,000 annually, with the proceeds split evenly between the university endowment (lot owner) and Parking Services (to offset operational costs).

**Timing of Transaction or the Terms of Arrangement**

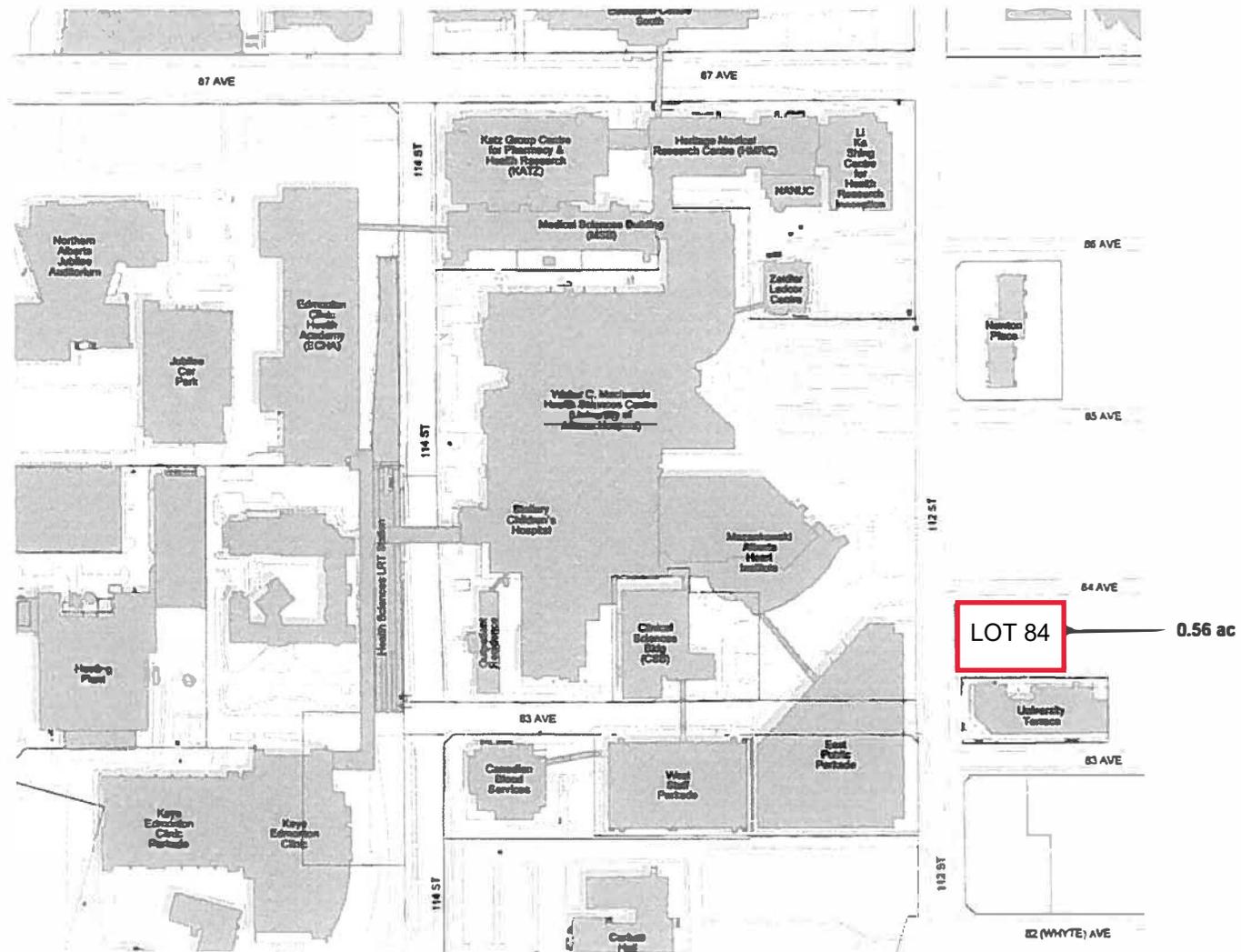
All infrastructure decisions are made in alignment with the University of Alberta's Integrated Asset Management Strategy (IAMS). This strategy sets out a collective mission, principles, goals, and actions for future-proofing the institution's physical infrastructure and its associated costs. It also guides the university's decisions related to supporting the infrastructure needs of its students, faculty, staff, and community. It is through the IAMS lens this surface parking has been deemed as non-core to the university's academic and research mission with no reasonable likelihood its fate will change.

**Risks and Financial Impact to the Institution**

The parking lot was appraised in September 2019 at \$4.6 million. Generating a barely 5 percent return on that value, the endowment has concluded this asset no longer generates a return sufficient to meet its financial objectives. Wishing to divest itself entirely, the question is then whether Parking Services wants to assume the entirety of the operation. As per IAMS, this lot exists in the university's inventory merely as a matter of convenience and not as a core asset. As such, it serves no value to the institution. Due to its proximity to Alberta Health Services (AHS) facilities, the university offered the property to AHS, but the Manager Land Services – North declined any interest (please see Appendix for email).

 **North Campus, Lot 84**  
SCALE: N.T.S.

**Plan I23A, Block 159, Lots 18 to 22 (0.56 ac / 0.23 ha) (All or portions of 0.56 acres, location outlined in red)**



**RESOLUTION OF**

**The Governors of the University of Alberta**

**IT IS HEREBY RESOLVED:**

THAT, subject to the prior approval of the Minister of Infrastructure under section 67 of the *Post-secondary Learning Act*, The Governors of the University of Alberta authorizes and approves to sell its interest in Lot 84, 8327 112 Street in Edmonton which is surplus to the needs of the University of Alberta and which is contained within the parcel legally described as Lots 18 to 22, Block 159, Plan I23A.

I hereby certify that this resolution has full force and effect on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Chair, the Governors of the University of Alberta

Item No. 3g

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>Disposition of Land, Camrose Condo</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property located at 407, 5419 49 Avenue, Camrose, Alberta, and legally described as:

Condominium Plan 0324177

Unit 31

And 312 UNDIVIDED ONE TEN THOUSANDTH SHARES IN THE COMMON PROPERTY  
EXCEPTING THEREOUT ALL MINES AND MINERALS

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Andrew Sharman, Vice-President (Facilities and Operations)
Presenter(s)	Andrew Sharman, Vice-President (Facilities and Operations)

**Details**

Office of Administrative Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To seek approval for the disposition of real property located in Camrose, Alberta.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	In June 2019, a condominium in Camrose was donated to the University of Alberta Augustana Faculty and, as a condition of the donation, the donor would retain a life estate, at no charge, until such time as the donor's death. On March 10, 2020, the donor passed away at the age of 98.  It was known and agreed to by all parties that, upon the transfer of the condominium to the university, it would be sold with the net proceeds being made available to the faculty.  The <i>Post-secondary Learning Act</i> (s.67) stipulates that disposition of donated land, such as this, does not require approval of the Government of Alberta.
Supplementary Notes / context	

**Engagement and Routing** (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)  <For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a> >	<b><u>Those who are actively participating:</u></b> <ul style="list-style-type: none"> <li>• R. Craig Moore, Director, Real Estate Services – U of A</li> <li>• Matt Weaver, Director, Office of the Recording Secretary – U of A</li> <li>• Ben Esch, General Counsel Office – U of A</li> </ul>
	<b><u>Those who have been consulted:</u></b> <ul style="list-style-type: none"> <li>• Dean, Augustana Campus</li> <li>• Vice-President (Facilities and Operations)</li> </ul>
	<b><u>Those who have been informed:</u></b> <ul style="list-style-type: none"> <li>•</li> </ul>

Item No. 3g

Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee: May 26, 2020 Board of Governors: June 19, 2020 – for approval
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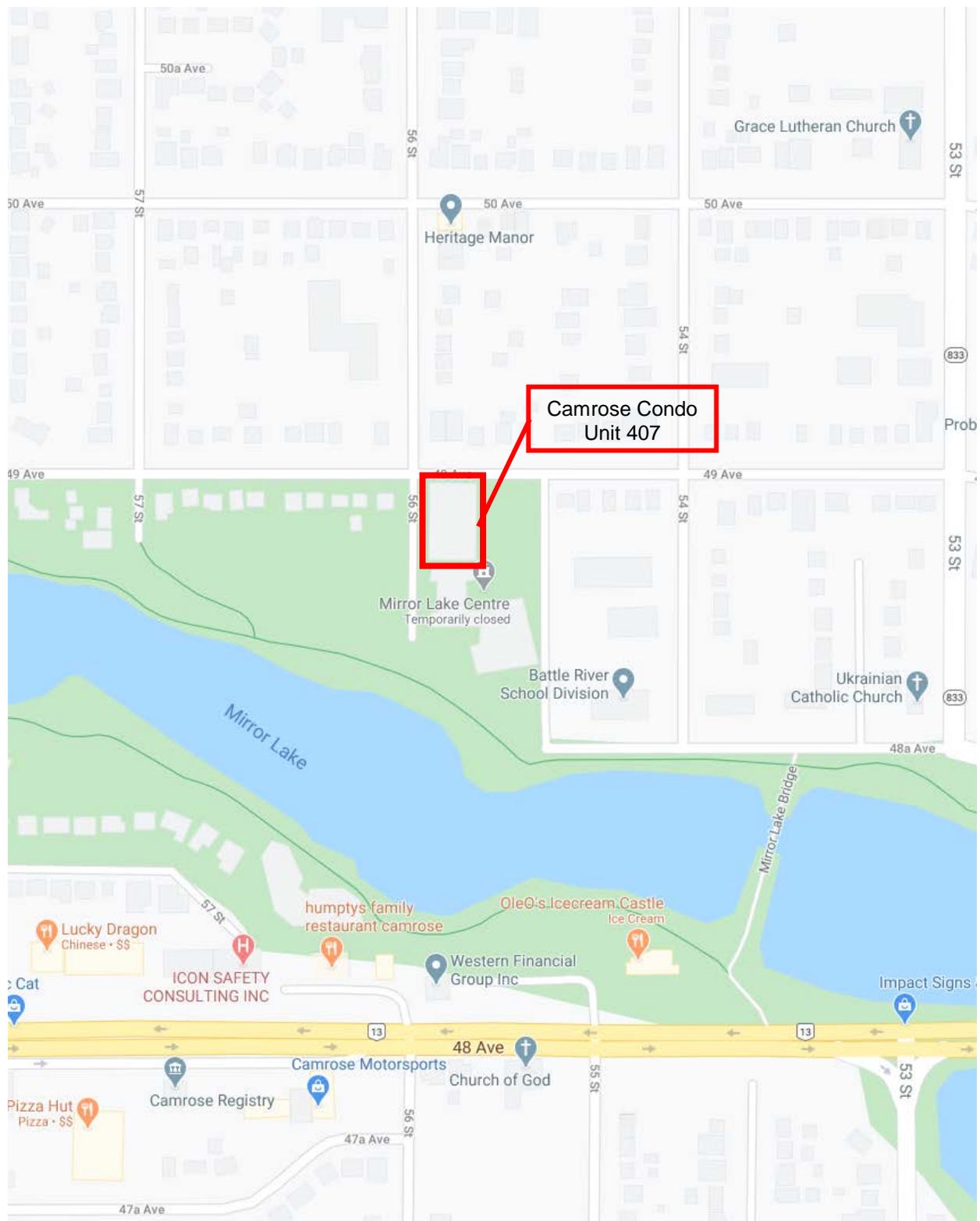
**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<b><u>SUSTAIN</u></b> <i>23. OBJECTIVE: Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</i> <i>i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</i>	
Alignment with Core Risk Area	<i>Please note below the specific institutional risk(s) this proposal is addressing.</i>	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<ul style="list-style-type: none"> <li>• <i>Post-secondary Learning Act, Section 67(1.1)(a)</i></li> <li>• Board Finance and Property Committee – Terms of Reference</li> </ul>	

Attachments:

1. Site Plan (1 page)

*Prepared by:* R. Craig Moore  
Director, Real Estate Services, Planning and Project Delivery, Facilities and Operations  
craig.moore@ualberta.ca



**Governance Executive Summary**  
**Action Item**

<b>Agenda Title</b>	<b>Disposition of Land, Ronning House</b>
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**Motion**

<p>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:</p> <p>a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition of real property known as Ronning House, located at 4606 49 Street, Camrose, Alberta, and legally described as:</p> <p style="padding-left: 40px;">Lot 15 Block 10 Plan 3605U EXCEPTING THEREOUT ALL MINES AND MINERALS</p> <p>and</p> <p>b) make an application to the Minister of Infrastructure for the required approval in the form of a Ministerial Order for the granting of the disposition, as set forth in Attachment 3.</p>
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**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Andrew Sharman, Vice-President (Facilities and Operations)
Presenter(s)	Andrew Sharman, Vice-President (Facilities and Operations)

**Details**

Office of Administrative Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To seek approval for the disposition of Ronning House, located at 4606 49 Street, Camrose, Alberta and, subsequently, request the approval of the Minister of Infrastructure in the form of a Ministerial Order.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>Ronning House was built in the early 1900's and was home to Chester Alvin Ronning, a Canadian educator, politician, and diplomat. Chester Ronning was Principal of Camrose Lutheran College (which later became Augustana) from 1927 to 1942. Chester Ronning passed away in 1984 and the Camrose Lutheran College purchased Ronning House in the 1980's.</p> <p>The last several years Ronning house has been home to the Chester Ronning Centre for the Study of Religion and Public Life.</p> <p>Early in 2020 Ronning House underwent a routine engineering inspection resulting in the discovery of serious structural issues. Due to safety concerns the occupant has been relocated to the main Augustana Campus. As the house is not part of the main Augustana Campus and financial resources are not available to repair, the property is to be sold.</p> <p>As part of our usual consultation processes, Alberta Infrastructure asked that we provide additional information in the briefing note in order to comply with the recently updated Land Disposition Ministerial Order Approval Guideline (April 2020). The additional information requested included the value of the property, the maintenance costs, and details of our consultation with neighbours and stakeholders.</p>

Item No. 3h

Supplementary Notes and context	Following consideration of this item by the Board Finance and Property Committee (BFPC) at its meeting of May 26, 2020, the attached briefing note was updated to include the additional information noted above. BFPC received the revised materials for information.
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**Engagement and Routing** (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)  <For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a> >	<u><b>Those who are actively participating:</b></u> <ul style="list-style-type: none"> <li>• Associate Vice-President (Operations and Maintenance) – U of A</li> <li>• Director, Real Estate Services – U of A</li> </ul>
	<u><b>Those who have been consulted:</b></u> <ul style="list-style-type: none"> <li>• Dean, Augustana Campus</li> <li>• Vice-President (Facilities and Operations) – U of A</li> </ul>
	<u><b>Those who have been informed:</b></u> <ul style="list-style-type: none"> <li>•</li> </ul>
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee: May 26, 2020 Board of Governors: June 19, 2020 (for approval)

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<u><b>SUSTAIN</b></u> 23. <b>OBJECTIVE:</b> <i>Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</i> <i>i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</i>	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<ul style="list-style-type: none"> <li>• <i>Post-secondary Learning Act, Section 67(1.1)(a)</i></li> <li>• <i>Augustana Campus Long Range Development Plan</i></li> <li>• <i>Board Finance and Property Committee Terms of Reference</i></li> </ul>	

Attachments:

1. Briefing Note (1 page)
2. Site Plan (1 page)
3. Board Resolution (1 page)

Prepared by: R. Craig Moore  
Director, Real Estate Services  
craig.moore@ualberta.ca

**Disposition of Land, Ronning House**  
Facilities and Operations**Background**

Ronning House was built in the early 1900's and was home to Chester Alvin Ronning, a Canadian educator, politician, and diplomat. Chester Ronning was Principal of Camrose Lutheran College (which later became Augustana) from 1927 to 1942. Chester Ronning passed away in 1984 at which point the Camrose Lutheran College purchased Ronning House. Even though Ronning House is distant from the campus, for the last several years, the site has been home to the Chester Ronning Centre for the Study of Religion and Public Life (Centre). In January 2020 Ronning House underwent a routine engineering inspection resulting in the discovery of serious structural issues. The structural issues necessitated an evacuation of the building until decisions about its future could be made. Fortunately, the Centre has been successfully relocated to the main Augustana Campus with the Centre expressing its desire to remain on the main campus.

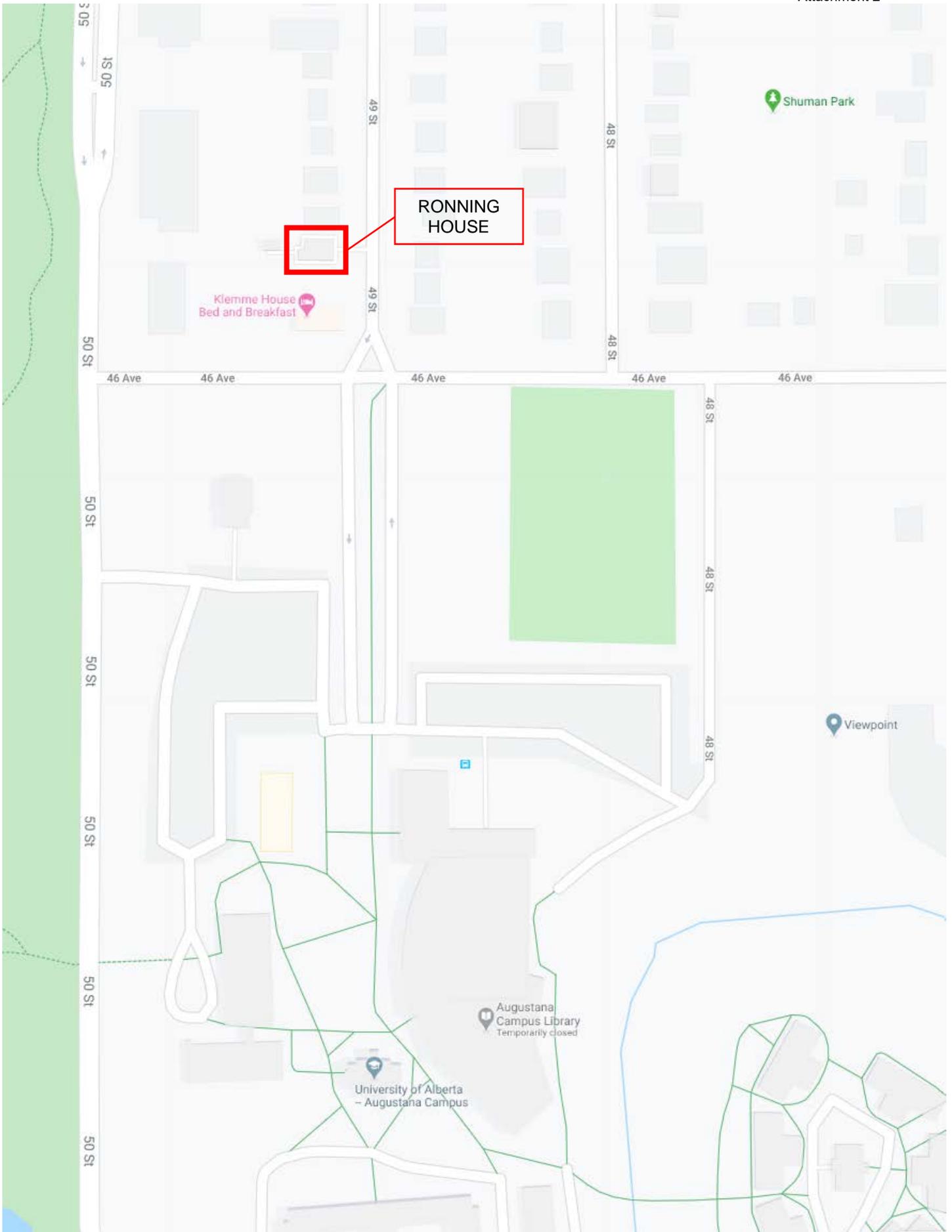
**Timing of Transaction or the Terms of Arrangement**

The estimate to repair the structural foundation of Ronning House is \$100,000 to \$300,00. All infrastructure decisions, including those of an emergent nature, are made in alignment with the University of Alberta's Integrated Asset Management Strategy (IAMS). This strategy sets out a collective mission, principles, goals, and actions for future-proofing the institution's physical infrastructure and its associated costs. It also guides the university's decisions related to supporting the infrastructure needs of its students, faculty, staff, and community. It is through the IAMS lens Ronning House has been deemed as non-core to the university's academic and research mission with no reasonable likelihood its fate will change. As such, there is no justification to expend limited funds on a major investment on a non-core asset.

**Risks and Financial Impact to the Institution**

With the successful relocation of the Centre, Ronning House is truly surplus to the University of Alberta. Although Ronning House is not a formally designated historic asset by the Government of Alberta, Facilities and Operations recognized its potential for being perceived as such considering who once lived there. As such, enquiries were made with Augustana Alumni and the City of Camrose as to whether there is particular significance to this property and whether extraordinary efforts might be warranted in preserving the property. All parties have confirmed Ronning House is simply 'a house' with no particular community attachment. The legacy of Chester Ronning lives on through the Centre, which continues to facilitate interdisciplinary research and offer outstanding public programming, although from a new location on the Augustana Campus. The Centre supports and helps share the research of scholars from all around the world, and its work will continue unabated in its new space. Where warranted and feasible, the University of Alberta remains committed to retaining historical assets and continues to evaluate where the highest and more viable needs are to do so. The recent investments into Emily Murphy House and Dentistry-Pharmacy Building are examples of where such investments have been found to be in the best interest.

Over the past several years, an average of approximately \$11,500 has been spent annually on operations and maintenance of Ronning House. Disposition of this failed asset removes a liability from the university's infrastructure inventory allowing for a reallocation of maintenance funding to higher-priority assets. There are no critical dates related to this disposition. The property will be listed for sale with a residential realtor, subject to receipt of a Ministerial Order. A current market assessment suggests a sale price of approximately \$100,000.



**RESOLUTION OF**

**The Governors of the University of Alberta**

**IT IS HEREBY RESOLVED:**

THAT, subject to the prior approval of the Minister of Infrastructure under section 67 of the *Post-secondary Learning Act*, The Governors of the University of Alberta authorizes and approves to sell its interest in Ronning House, 4604 49 Street, Camrose, Alberta which is surplus to the needs of the University of Alberta and which is contained within the parcel legally described as Lot 15 Block 10 Plan 3605U.

I hereby certify that this resolution has full force and effect on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Chair, the Governors of the University of Alberta

**Governance Executive Summary  
Action Item**

<b>Agenda Title</b>	<b>University of Alberta Annual Report 2019-2020</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Reputation and Public Affairs Committee, approve and adopt the University of Alberta Annual Report 2019-20 and empower the Associate Vice-President (Disclosure, Assurance and Institutional Research) to make any editorial changes to the Report, as needed, as long as the changes do not have the force of policy.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Vice-President (Finance and Administration)
Presenter(s)	Deborah Williams, Associate Vice-President, Disclosure, Assurance, and Institutional Research (DAIR); Logan Mardhani-Bayne, Strategic Development Manager, Office of the Provost & Vice-President Academic

**Details**

Responsibility	Finance and Administration
The Purpose of the Proposal is	To approve and adopt the University of Alberta Annual Report 2019-2020
Executive Summary	<p>A retrospective document, the Annual Report presents accomplishments and progress made during the period of April 1, 2019 to March 31, 2020 per the university's Comprehensive Institutional Plan (CIP) 2019-22.</p> <p>Development and submission of an Annual Report is a legislative requirement of the Government of Alberta, and it is prepared in accordance with annual reporting guidelines from Advanced Education.</p> <p>The Annual Report is also intended to function as a report to the university community. Accordingly, the document reports on the five goals articulated in <i>For the Public Good</i>, and also demonstrates how these contribute to advancing government's principles for the adult learning system (accessibility, affordability, quality, coordination, accountability).</p> <p>Financial components follow a separate approval route and are incorporated into the Annual Report following their approval by the Board.</p> <p>Following Board approval, the Annual Report is to be submitted to Alberta Advanced Education by September 30, 2020.</p> <p>This document then will be distributed primarily within the University and Government of Alberta offices, though it will be publicly available as well, as required by legislation.</p>
Supplementary Notes	

**Engagement and Routing**

Consultation and Stakeholder Participation	<p>Actively <b>participating</b>:</p> <ul style="list-style-type: none"> <li>• Office of the President</li> <li>• PEC-O</li> <li>• GFC Academic Planning Committee (APC)</li> <li>• Board Audit and Risk Committee</li> <li>• Board Reputation and Public Affairs Committee</li> <li>• Board of Governors</li> </ul>
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Item No. 3i

	<p><b>Consulted:</b></p> <ul style="list-style-type: none"> <li>• U of A business areas to develop respective sections of the report.</li> <li>• The Annual Report Advisory Committee, whose membership comprises representatives from the President's Office, the Provost's Office, University Relations, and Internal Communications, to ensure the report comprehensively reflects the breadth of the institution and supports consistent messaging.</li> </ul>
Approval Route (Governance - including meeting dates)	<ul style="list-style-type: none"> <li>• Office of the President to review and provide approval (March 13, 2020)</li> <li>• PEC-O to review and provide input for revisions. (April 2, 2020)</li> <li>• GFC Academic Planning Committee (APC) for information (May 6, 2020)</li> <li>• Board Audit and Risk Committee to review and approve an excerpt of the financial information contained in the report. (May 25, 2020 - financial statement portion only)</li> <li>• Board Reputation and Public Affairs Committee to review and recommend Board of Governors' approval and adoption of the 2019-20 Annual Report to the Government of Alberta. (May 29, 2020.)</li> <li>• Board of Governors to review and provide final approval. (June 19, 2020)</li> </ul>

**Strategic Alignment**

Alignment with <i>For the Public Good</i>	<i>For the Public Good</i> goals (and respective objectives and strategies) are all directly aligned with the adult learning system principles; specific references are noted throughout the Annual Report.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and Jurisdiction	<ul style="list-style-type: none"> <li>- <i>Post-Secondary Learning Act (PSLA)</i></li> <li>- Terms of Reference for the Board Reputation and Public Affairs Committee</li> </ul>	

Attachments

1. University of Alberta Annual Report, 2019-20 (94 pages)
2. Advanced Education Annual Report Guidelines, 2019-20 (17 pages)

Prepared by: Deborah Williams, Associate Vice-President, DAIR, [deborah.williams@ualberta.ca](mailto:deborah.williams@ualberta.ca)



# ANNUAL REPORT 2019-2020

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## BOARD OF GOVERNORS

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(Membership list as of March 6, 2020)

MEMBER / ROLE	RELATIONSHIP
<i>Voting – Appointed Members</i>	
Kate Chisholm, QC, Chair (Term end: August 14, 2022)	General Public
Matthew Barnett, Member (Term end: April 11, 2020)	Non-Academic Staff Representative (NASA Appointee)
Mary Pat Barry, Member (Term end: July 3, 2020)	University of Alberta Alumni Association Representative
Akanksha Bhatnagar, Member (Term end: April 30, 2020)	President (Students' Union)
Katherine Binhammer, Member (Term end: June 30, 2020)	Academic Staff Representation (General Faculties Council Appointee)
Guy Bridgeman, Member (Term end: November 25, 2022)	General Public
Charlene Butler, Member (Term end: July 15, 2020)	University of Alberta Senate Representative
Daniel Eggert, Member (Term end: August 14, 2022)	General Public
Fahed Elian, Member (Term end: April 30, 2020)	President (Graduate Students' Association)
Dominique Grégoire, Member (Term End: March 6, 2020*)	General Public
Rowan Ley, Member (Term end: April 30, 2020)	Undergraduate Board of Governors Representative
Janice MacKinnon, Member (Term end: March 6, 2023)	General Public
Raymond Muzyka, Member (Term end: June 27, 2020)	General Public

\*Eligible for an additional three month override period until reappointed or a successor is appointed.

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James Rajotte, Member (Term end: August 14, 2022)	General Public
Thomas (Tom) Ross, Member (Term end: August 14, 2022)	General Public
Rakesh Saraf, Member (Term end: August 14, 2022)	General Public
Douglas Stollery, Member (Term end: June 18, 2020)	Chancellor, University of Alberta
Robert Ryan Thompson, Member (Term end: September 16, 2022)	University of Alberta Alumni Association Representative
David Turpin, Member (Term end: June 30, 2020)	President and Vice-Chancellor, University of Alberta
Paul Whittaker, Member (Term end: March 6, 2023)	General Public
Donna Wilson, Member (Term end: November 25, 2021)	Academic Staff Representative (AASUA Appointee)

*Non-Voting – Appointed Members*

Steven Dew, Official (Term end: June 30, 2020)	Provost and Vice-President (Academic) (Appointed by President)
Marion Haggarty-France, Official	University Secretary (University Governance)
Brad Hamdon, Official	General Counsel (Appointed by President)
Gitta Kulczycki, Official (Term end: June 30, 2021)	Vice-President (Finance and Administration) (Appointed by President)
Matthias Ruth, Official (Term end: June 30, 2023)	Vice-President (Research) (Appointed by President)
Andrew Sharman, Official (Term end: June 30, 2021)	Vice-President (Facilities and Operations) (Appointed by President)
Kelly Spencer, Official (Term end: August 31, 2019)	Interim Vice-President (Advancement) (Appointed by President)
Catherine Swindlehurst, Official	Interim Vice-President (University Relations) Chief of Staff (President's Office) (Appointed by President)
Juli Zinken, Official	Board Secretary and Manager, Board Services (University Governance)

## ACCOUNTABILITY STATEMENT

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The University of Alberta's Annual Report for the year ended March 31, 2020, was prepared under the Board's direction in accordance with the *Fiscal Planning and Transparency Act* and ministerial guidelines established pursuant to the *Post-Secondary Learning Act*. All material economic, environmental or fiscal implications of which we are aware have been considered in the preparation of this report.

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Kate Chisholm, QC  
Chair, Board of Governors

## MANAGEMENT'S RESPONSIBILITY FOR REPORTING

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University of Alberta's management is responsible for the preparation, accuracy, objectivity and integrity of the information contained in the Annual Report including the financial statements, performance results and supporting management information. Systems of internal control are designed and maintained by management to produce reliable information to meet reporting requirements. The system is designed to provide management with reasonable assurance that transactions are properly authorized, are executed in accordance with all relevant legislation, regulations and policies, reliable financial records are maintained and assets are properly accounted for and safeguarded.

The Annual Report has been developed under the oversight of the institution's audit committee, as well as approved by the Board of Governors and is prepared in accordance with the *Fiscal Planning and Transparency Act* and the *Post-secondary Learning Act*.

The Auditor General of Alberta, the institution's external auditor appointed under the *Auditor General Act*, performs an annual independent audit of the consolidated financial statements which are prepared in accordance with Canadian public sector accounting standards.

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David H. Turpin  
President and Vice-Chancellor

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Gitta Kulczycki  
Vice-President (Finance & Administration)  
and Chief Financial Officer

## MESSAGE FROM THE PRESIDENT

The University of Alberta is proud to help build this province through outstanding teaching, research, and community engagement. That work begins with students. In fall 2019, we welcomed a record 40,649 students to our campuses. We draw top-tier students from across Alberta and Canada, and around the world—talented individuals who bring their passions, skills and ideas into our classrooms and communities.

We educate and prepare our students to become the highly-skilled and qualified people that Alberta's economy needs to thrive. Every year, U of A students engage in a growing number of work-integrated experiential learning opportunities that connect them with businesses, industry, and organizations throughout the province. These experiences prepare them to make an immediate impact in the workforce, and the U of A now ranks third in Canada for graduate employability—94 percent of our graduates are employed two years after graduation. Our first-ever PhD Career Preparation and Outcomes study this year revealed that 80 percent of our PhD students secure jobs *before* graduating.

With Albertans increasingly linked into the global economy, our diverse campuses reflect the breadth of ideas and talents befitting a leading global university. In September 2019, the U of A achieved record-high enrolment of Indigenous students and students from outside of Alberta; we also met our 15 percent enrolment target for international undergraduate students. We continue to emphasize equity, diversity, and inclusion, recognizing that these principles enrich the lives of all those who work, study and live on campus.

Our ability to contribute to society also flows from the connections we hold with local, national, and international communities. The U of A became the only Canadian university with two Network Centres of Excellence when the new Canadian Mountain Network joined our other NCE, GlycoNet. Both centres facilitate nation-wide networks of partnerships with industry and researchers, helping us find joint solutions to shared problems and magnifying the reach and impact of Alberta's research excellence.

As the world now grapples with the COVID-19 pandemic, research that serves the public good is more important than ever. When COVID-19 first emerged in Canada, 11 U of A research projects received \$5.9 million in federal grants to help rapidly detect, manage, and reduce the transmission of the virus. Law professor Timothy Caulfield is serving on the Royal Society of Canada's Task Force on COVID-19—and researchers across the university are working on the diverse challenges that lie ahead.

Turning our attention forward, we embrace our role to continue building one of the world's great public universities for the public good. We are committed to educating the next generation of citizens and leaders who will build Alberta and help it to thrive. We are committed to enriching lives and communities through our world-class research. And as we expand our industry, research, and community partnerships, we are committed to finding the innovative and compelling solutions that will benefit all Albertans.

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

## OPERATIONAL OVERVIEW

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From its inception more than 100 years ago, the University of Alberta (the university/U of A) has been committed to serving the province of Alberta. The university remains true to this role as a world-class public education institution that is transformative to the respective groups it serves: students, the community, the province, our country and the world.

Ranked among the top universities in the world, teaching, learning, and discovery fundamentally contribute to the well being of the province and its citizens. The U of A's innovative and wide-ranging discoveries generate the new knowledge and processes needed to create a more diversified economy, to solve complex critical social and political issues, and to offer an enhanced quality of life for Albertans and others.

As the province's largest and leading post-secondary institution in the province, the University of Alberta supports the development of a plan and mechanism to ensure the province is not left behind; ensuring support for research and innovation, delivering better access to Albertans, and providing our young people with the training and education they need in today's world to build a strong, diverse, responsive Alberta economy.

The university also plays a foundational role in the building of a better province through the generation of new ideas, and as an engine of social, cultural, and economic prosperity. In partnership with other key players of Alberta's adult learning system, the U of A contributes to greater economic diversity, supporting the growth of a diverse, skilled, and agile workforce, and addressing critical social issues including quality of life and healthcare, food security, and sustainable energy production – to name only a few.

In its strategic plan, *For the Public Good*, the university affirms that “we are a public university acting for the public good” and articulates this continued commitment through five goals that describe our work: Build, Experience, Engage, Excel, and Sustain. Across its teaching, learning, and discovery activities, and administrative support structures, the university seeks to embody these ideas and instill them in our graduates, faculty and staff.

As presented in this 2019-2020 Annual Report, the goals, priority initiatives, and expected outcomes articulated in the 2019-22 Comprehensive Institutional Plan (CIP) are all designed to fully realize the key strategic objectives found in *For the Public Good* - in alignment with the mandate set out for the U of A by the province and with Alberta's adult learning principles: Accessibility, Affordability, Quality, Coordination, and Accountability.

The U of A continued on the path outlined in the 2019-22 CIP: this included no major changes to programming in terms of overall enrollment increases or decreases.

# GOALS, PRIORITY INITIATIVES, EXPECTED OUTCOMES, AND PERFORMANCE MEASURES

The focus of the university’s strategic plan, *For the Public Good* is to “inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world’s great university’s for the public good.” *For the Public Good* goals directly support the principles of Alberta’s adult learning system, as seen in the table below.

<u>Adult Learning System Principles</u>	<u>For the Public Good Goals</u>
<p><b>Accessibility</b>, which means that every Albertan should have the same opportunity to get a post-secondary education.</p>	<p><b>Sustain</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p> <p><b>Build</b> a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.</p> <p><b>Experience</b> diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p>
<p><b>Affordability</b>, which means that every Albertan should have the same opportunity to get a post-secondary education, regardless of financial circumstances.</p>	<p><b>Sustain</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p>
<p><b>Quality</b>, which means that Albertans should get the best education possible here at home.</p>	<p><b>Excel</b> as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research and service.</p> <p><b>Build</b> a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.</p> <p><b>Experience</b> diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p> <p><b>Engage</b> communities across our campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships and collaborations.</p>
<p><b>Coordination</b>, which means that Albertans should get full advantage from a diverse post-secondary system.</p>	<p><b>Engage</b> communities across our campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships and collaborations.</p> <p><b>Experience</b> diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p> <p><b>Sustain</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p> <p><b>Excel</b> as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research and service.</p>
<p><b>Accountability</b>, which means that post-secondary education providers must be accountable to students, the government, and Albertans.</p>	<p><b>Build</b> a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.</p> <p><b>Sustain</b> our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.</p>

This section speaks to key accomplishments and progress made in the 2019-20 fiscal year, compared against the U of A's Comprehensive Institutional Plan (CIP) for 2019-2022, and in alignment with principles of Alberta's adult learning system and goals of *For the Public Good*.

#### **Adult Learning System Principle:**

**Accessibility** - every Albertan should have the same opportunity to get a post-secondary education.

#### **Related *For the Public Good* Goals: Sustain, Build, Experience**

**Sustain** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

**Build** a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.

**Experience** diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

#### **Key Accomplishments:**

The University of Alberta is the province's leading educator, the largest Comprehensive Academic and Research University in the province, and one of the leading major medical and research universities in Canada. The university endeavours through a variety of mechanisms, to ensure that all Albertans have access to the institution's high-quality post-secondary offerings.

- At 40,649 students (8,225 graduate students and 32,424 undergraduate students), the university has reached a record high with respect to total, graduate, and undergraduate enrolment. We have seen this growth trend since 2015/16.
- The U of A ranks third overall in Canada for graduate employability according to the 2020 QS World University Rankings, with 83.5 per cent of its graduates employed one year after graduation.
- The results of the first PhD Career Preparation and Outcomes study from the Faculty of Graduate Studies and Research suggest that graduates are in-demand in diverse fields and sectors. More than 99 per cent of PhD graduates surveyed are currently employed, and 80 per cent secured jobs before graduation.
- Massive Open Online Courses (MOOC) are free online courses with no prerequisites and available to everyone. They remain popular with both internal and external users. Joining the very popular courses Dinos 101, Indigenous Canada, Black Holes, and Mountains 101, a new course Bugs 101 attracted more than 9,000 enrolments in its first seven months.
- The new Digital Scholarship Centre offers resources and tools for students and researchers from all disciplines that allow them to remain competitive scholars by integrating digital practices into their research and digitizing their own work.
- Two new signature areas were approved:
  - AI 4 Society will build on more than four decades of expertise in AI and machine learning. Over the last 30 years the University of Alberta has consistently been ranked as one of the top three institutions worldwide for AI research.
  - Situated Knowledges: Indigenous Peoples and Place will build on the U of A's rich history of Indigenous scholarship.
- Two new programs were approved:
  - The streamlined Modern Languages and Cultural Studies program is not offered elsewhere in Canada and replaces several previously-available individual degree programs. The program emphasizes skills building and experiential learning.
  - The new Media Studies undergraduate program in the Department of Interdisciplinary Studies in the Faculty of Arts examines the content, history, and effects of media on social, political, and cultural systems.

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## Report on 2019-22 CIP Progress in Relation to Accessibility

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<b>2017-G1</b>  <b>SUSTAIN Objective 19</b>	Prioritize and sustain student, faculty and staff health, wellness and safety by delivering proactive, relevant, responsive and accessible services and initiatives. (ongoing)	<p><b>2017-P1.</b> Operationalize our integrated, institution-wide health and wellness strategy, which increases the reach and effectiveness of existing health, mental health and wellness resources, programs and services and promotes resilience and work-life balance. (ongoing)</p> <p><b>2017-P2.</b> Continue the implementation of top recommendations of the 2016 Review of the University of Alberta's Response to Sexual Assault. (ongoing)</p>	<p><b>2017-EO1.</b> Infuse health into everyday operations, business practices and academic mandates through the launch of an integrated health and wellness strategy to support the health, well-being and safety of the university community. (2019) <b>EO completed; implementation ongoing through regular business activities.</b></p> <p><b>2019-EO1.</b> Full implementation of the Healthy University Strategic Plan, with particular focus on sexual violence prevention, suicide prevention, integrated mental health awareness, and campus-wide collaborations.</p> <p><b>2018-EO2.</b> Enhanced institutional understanding of the new sexual violence policy through educational opportunities for students and staff, communications and committee oversight. (ongoing)</p>		<p><b>2019-EO1.</b> <a href="#">Healthy University Strategic Plan</a> in implementation; priority initiatives include sexual violence prevention, suicide prevention, mental health awareness, and campus-wide collaborations.</p> <p><b>2018-EO2.</b> Sexual Violence Policy implementation ongoing with emphasis on awareness, education, and training</p>
<b>2017-G2</b>  <b>BUILD Objective 14</b>	Develop, in consultation and collaboration with internal and external community stakeholders, a thoughtful, respectful, meaningful and sustainable response to the report of the Truth and Reconciliation Commission of Canada. (ongoing)	<p><b>2017-P4.</b> Responding to record Indigenous student enrolment, continue to advocate to develop the Maskwa House of Learning as a place of understanding, welcome and cultural connection for all, and where Indigenous students can access the social, cultural and spiritual supports that enable their academic success. Improve cultural supports for Indigenous colleagues so they feel an essential part of the fabric of the university and for non-Indigenous colleagues so they can be more inclusive and welcoming and supportive. (2019)</p> <p><b>2017-P5.</b> Foster learning opportunities across our campuses that enable student, staff and faculty participation in reconciliation. (2020)</p>	<p><b>2017-EO3.</b> An increased understanding and inclusion of First Nations, Métis and Inuit perspectives in university activities, supported by increased visibility and celebration of Indigenous culture, researchers and learners. (2020)</p> <p><b>2017-EO7.</b> Incremental increase in the proportion of Indigenous students to more closely reflect their demographic representation in Alberta's population. Improved retention of Indigenous students to match retention for other groups in the same cohorts. (2025)</p>		<p><b>2017-EO3.</b> Vice-Provost position on Indigenous Programs and Research established; development of an institutional strategic plan on Indigenous initiatives underway.</p> <p><b>2017-EO7.</b> Indigenous student recruitment activities doubled from the previous cycle.</p>

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Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<p><b>2017-G3</b></p> <p><b>BUILD Objective 1</b></p>	<p>Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada and the world. (2025)</p>	<p><b>2017-P3.</b> Increase the opportunities for all undergraduate and graduate students to experience the benefits of living on campus, including guaranteeing the offer of a place in residence to every first-year undergraduate student who needs or requests it. (2018)</p> <p><b>Completed</b></p> <p><b>2017-P7.</b> Optimize our international recruiting strategies to attract well qualified international students from regions of strategic importance and enhance services and programs to ensure their academic success and integration into activities of the university. (2020)</p> <p><b>2017-P9.</b> Develop and implement an undergraduate and graduate recruitment strategy to attract top students from across the diverse communities in Alberta and Canada, leveraging our strengths as a comprehensive, research-intensive, multi-campus university offering francophone and rural liberal arts programming. (2025)</p> <p><b>2017-P10.</b> Develop and implement an undergraduate and graduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada (2025)</p> <p><b>2017-P11.</b> Highlight and strengthen the role that Campus Saint-Jean plays in reflecting and reinforcing the French/English linguistic duality of Canada as well as the world-wide multi-ethnic Francophonie, by positioning the university locally, nationally and internationally as a destination of choice for francophone and bilingual students; and by progressively improving Campus Saint-Jean students' and applicants' access to French language services. (2025)</p>	<p><b>2018-EO1.</b> Moved to Affordability.</p> <p><b>2017-EO2.</b> An enriched student academic experience that links learning with other aspects of their lives such as a residential experience through the completion of 760 bed spaces on the Lister Hall site and in East Campus Village. Housing in on-campus residences supports student success and enhances access for rural, Indigenous, under-represented and international students. (2018)</p> <p><b>Completed</b></p> <p><b>2017-EO6.</b> Enhanced diversity of the student body to more closely reflect the demographic diversity of Alberta and Canada while continuing to attract top students and serve the needs of Alberta learners. (2025)</p>	<p><b>2017-PM1.</b> Composition of the student body: proportion of Alberta students from outside Edmonton (2018/19: 31.1% undergraduate; 35.7% graduate); proportion of students from out-of-province (2018/19: 26.9% undergraduate; 60.5% graduate); and percentage of Indigenous students (target: Indigenous student population is proportionate to the Indigenous population in Alberta.</p> <p><b>2017-PM3.</b> Percentage of full-time students living in purpose-built student housing where there is intentional programming</p> <p><b>Target:</b> 25% by 2040 (2018/19: 13.1%)</p> <p><b>Performance Measurement Results</b> Just under one-third of U of A undergraduate students and just over one-third of graduate students come from outside of Edmonton. These proportions have remained relatively stable at approximately 30% and 35%, respectively, between 2017-18 and 2019-20.</p> <p>Over these same reporting periods, proportions of undergraduate and graduate students from outside of Alberta has also remained quite consistent at approximately 27% and 60%, respectively. (See Tables 1 and 2)</p> <p>The percentage of full-time students living in purpose-built student housing where there is intentional programming was 12%. <i>Note: this assumes full-time enrollment to be 35,750 in 2019/20.</i></p>	<p><b>2017-EO6.</b> <i>National Recruitment Strategy Year 3 complete and all KPIs achieved.</i></p>

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Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<b>2017-G4</b>  <b>BUILD Objective 2,3</b>	Support the recruitment and retention of a diverse and inclusive faculty and non-academic staff to ensure that students have access to a university community reflective of Alberta's diversity. (2025)	<b>2017-P6.</b> Review, improve and implement equity processes and procedures for recruiting and supporting faculty and staff in all categories to ensure a balanced academy and workforce that is representative of women, visible minorities, sexual and gender minorities, Indigenous peoples and peoples with disabilities. (2020)	<b>2017-EO4.</b> Enhanced support for equity, diversity and inclusion promotes university values, ensures that the professoriate and university workforce more closely reflect the community at large and enhances the intellectual diversity of the academy. (ongoing, complete by 2025)	<b>2017-PM2.</b> Composition of faculty and staff: gender (target: 43% female professoriate by 2025; 2018/19: 38%), Indigenous (target: 26 faculty members by 2025), visible minority (target: 25% of faculty members by 2025), disability status.  <b>Note:</b> Data are only available for continuing, operating-funded positions; broader data collection and target setting are under development. (Data are self-reported.)	<b>2017-EO4.</b> <i>Review of recruitment policies and processes for faculty/staff completed, including development of toolkits; EDI considerations embedded in award and research adjudication processes; statements of EDI commitment by senior leaders in place; EDI Gateway launched.</i>
			<b>2017-EO5.</b> Renewal of the professoriate to increase diversity. More applications from individuals with diverse backgrounds expand our available conceptual tools, leading to a more creative academy. (2025)	<b>Performance Measurement Results</b> In 2019-20, the proportion of faculty who are female was just under 38% indicating that the university is on track towards achieving its 2025 target of 43%. Staff who are female has remained quite stable at close to 64% of all staff.  There has been a slight increase in the proportion of faculty members who are Indigenous or of a visible minority.  (See Table 4 and Figure 1.)  Fifty three (53) new assistant professors were recruited in the 2018-19 academic year.	<b>2017-EO5.</b> <i>Workforce diversity census launched to establish baseline; targeted Canada Research Chair recruitments for members of federally designated groups completed in satisfaction of federal program targets.</i>

## Access and Enrolment Trends

Just under one-third of U of A undergraduate students and just over one-third of graduate students come from outside of Edmonton. These proportions have remained relatively stable over the reported period.

**Table 1: Composition of the Student Body from Outside of Edmonton**

Proportion of Alberta Students from Outside of Edmonton	2017-18	2018-19	2019-20
<i>Undergraduate</i>	31.2%	31.1%	30.2%
<i>Graduate</i>	35.2%	35.7%	35.5%
<b>Total</b>	<b>31.7%</b>	<b>31.6%</b>	<b>30.8%</b>

**Source:** Acorn Institutional Data Warehouse, U of A, Student Headcount and FLE

**Notes:** Proportion based on students registered on December 1 of the reported year. Alberta students from outside of Edmonton, have an original hometown census province of Alberta and an original hometown census division other than Edmonton. The undergraduate figures:

- Include students in career preparation programs.
- Exclude post-graduate medical residents, students who did not report a hometown, students who are only auditing courses, and withdrawn students.

Just over one-quarter of undergraduate students are from outside of Alberta. The majority of graduate students' (just under two thirds) are from outside of Alberta.

**Table 2: Composition of the Student Body from Outside of Alberta**

Proportion of Students from Outside of Alberta	2017-18	2018-19	2019-20
<i>Undergraduate</i>	26.9%	26.9%	26.8%
<i>Graduate</i>	59.6%	60.5%	61.9%
<b>Total</b>	<b>33.5%</b>	<b>33.8%</b>	<b>34.1%</b>

**Source:** Acorn Institutional Data Warehouse, U of A, Student Headcount and FLE

**Notes:** Proportion based on students registered on December 1 of the reported year.

Percent outside Alberta includes international students.

The undergraduate figures:

- Include students in career preparation programs.
- Exclude post-graduate medical residents, students who did not report a hometown province, students who are only auditing courses, and withdrawn students.

Masters students continue to experience the highest completion rates compared to Undergraduate and PhD students. Undergraduate student completion rates remain very stable hovering at about 76%. PhD student completion rates have fluctuated slightly since 2015-16, however, because the PhD cohort is small, changes of a few students result in relatively large percentage changes.

**Table 3: Student Completion Rates**

Report Year	Undergraduate	Masters	PhD
2018-19	77.7%	91.5%	81.4%
2017-18	76.1%	90.4%	82.2%
2016-17	76.0%	90.1%	84.5%

**Source:** Acorn Institutional Data Warehouse, U of A

**Notes:** Completion rates reflect the percentage of full-time students completing a degree-granting program within a designated number of years from the time of their first registration. Undergraduate completion rates reflect students in the following: Direct Entry Programs, admitted from high school (6 years); Second Entry Programs (5 years); and Transfers from other post-secondary institutions (5 years). Graduate completion rates reflect students in the following: Masters completion rates (5 years); and PhD completion rates (9 years). Graduate completion rates have been adjusted to provide additional time for students who change programs and to allow for convocation records that don't exactly align with the program of registration. Excludes withdrawn and part-time students.

### Building Diverse and Inclusive Faculty and Staff

Representation of faculty who are female has been increasing over the past three years. The proportion of staff who are female has remained quite stable over the same time period at just under two thirds of all staff.

**Table 4: Proportion of Faculty and Staff who are Female**

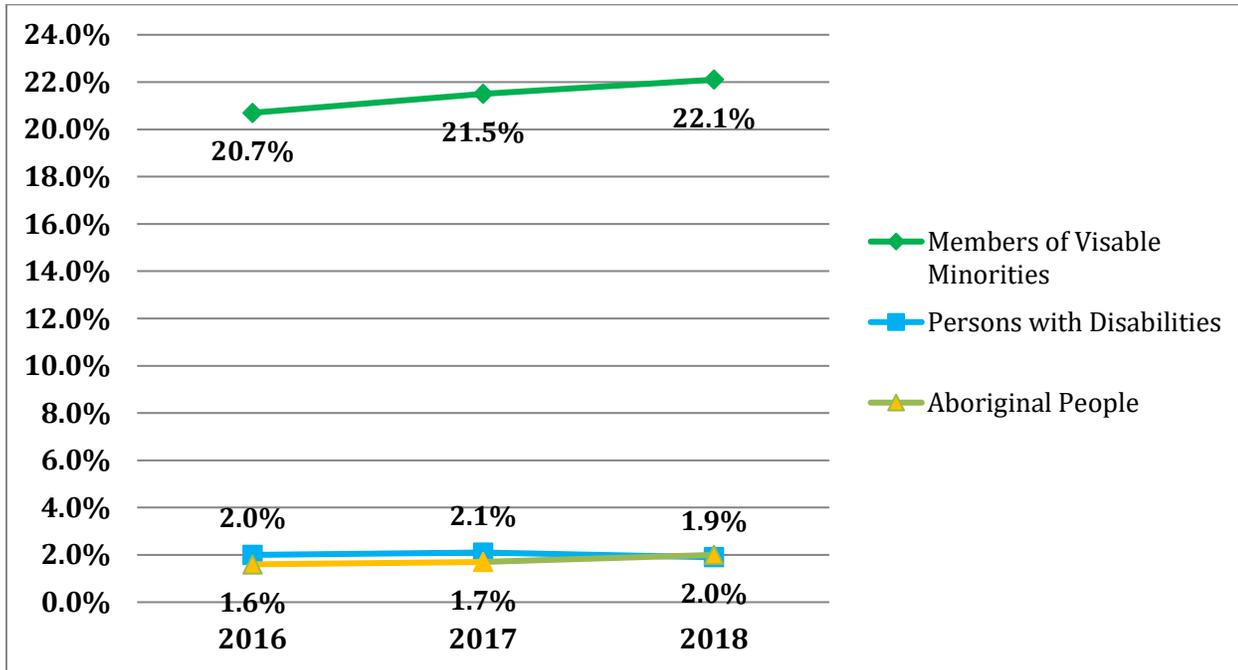
	2017-18	2018-19	2019-20
<i>Proportion of Faculty who are female</i>	37.0%	37.6%	37.9%
<i>Proportion of Staff who are female</i>	63.2%	63.4%	63.3%

**Source:** Acorn Institutional Data Warehouse, U of A, HR - Staff Headcount and FTE

**Notes:** Data are as of October 1 of each respective year. Faculty includes professors in teaching faculties. Staff includes the Administrative Professional Officers, Contract Academic Teaching Staff, Faculty Service Officers, Librarians, Research Academic Staff, and Support Staff (not casual).

The U of A continues to provide equal employment opportunities for Aboriginal people, persons with disabilities, and members of visible minorities.

**Figure 1: Faculty Composition Trend, Percentage of All Professoriate, 2016 to 2018**



**Source:** U of A Equity Survey

**Notes:** Faculty includes full, associate and assistant professors, including those who have an administrative appointment. Proportions are based on number of survey respondents. Aboriginal peoples are persons who self-identify as North American Indian (Status, non-Status, and Treaty), Inuit, or Métis. Persons with disabilities are persons who have a long-term or recurring physical, mental, sensory, psychiatric or learning disability. Members of visible minorities are persons, other than Aboriginal Peoples, who are non-Caucasian in race or non-white in colour, regardless of their birthplace or citizenship. The visible minority category includes Chinese, South Asian, Black, Arab, West Asian, Filipino, Southeast Asian, Latin American, Japanese, Korean, Indigenous People from outside North America, and Persons of Mixed Origin. 2018 figures are preliminary and may change once finalized.

## ANNUAL REPORT 2019-20

**Adult Learning System Principle:**

**Affordability** - every Albertan should have the same opportunity to get a post-secondary education, regardless of financial circumstances.

**Related For the Public Good Goal:**

**Sustain** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

**Key Accomplishments:**

Affordability is underpinned by the university's ability to attract and steward resources which enable excellence in teaching, learning, research, and service. The University of Alberta's tuition and fees are among the lowest in the country and competitive globally, sometimes by a factor of double or triple for comparable programs.

- Donor contributions from individuals, corporations, and foundations totaled \$168 million for 2018-19, supporting more than 3,000 students and 700 research projects. Because of our donors, more students are able to have extraordinary learning experiences and researchers have greater capacity to tackle complex problems.
- The Board of Governors approved a new fixed program-based tuition model that will give international undergraduate students a tuition guarantee for the duration of their chosen program. With the previous course-based tuition model, tuition was dependent on what courses the student registered for. The new model gives students more predictability and assists with budget planning.
- Residence Services now offers eight-month contracts—in addition to eleven-month contracts—in Linden, Tamarack, Pinecrest, and Nipisiiy undergraduate residences. This change allows students who are only enrolled in fall and winter semesters to pay for residence only for the length of time needed. Damage deposits have also been eliminated from all residence rentals and will instead go against the first month's rental payment.
- An increase in tuition is accompanied by an increase in student financial aid. For 2020-21, 15 per cent of the net increase to domestic tuition will be dedicated to student financial support, and we will continue to direct 7.55 per cent of all international tuition to support international students. We are also expanding efforts on growing philanthropic support for student awards and bursaries.

**Report on 2019-22 CIP Progress in Relation to Affordability**

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
2017-G6 <b>SUSTAIN Objective 22</b>	<b>Goal was updated to:</b> 2019-G6. Ensure robust student financial support in the context of financial stewardship to sustain, enhance, promote and facilitate the university's core mission and strategic goals. (2020)	2017-P1. Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support (2025)  2017-P2. Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely	2019-EO1. Enhanced tracking and reporting on student merit-based and needs-based awards. (2018) <b>Completed</b>	2019-PM1. Student Financial Aid Report  2017-PM2 updated to: 2019-PM1. Financial sustainability. The university reports on financial sustainability through numerous established mechanisms, notably the Audited Financial Statements.	<b>2019-EO1.</b> <i>Provided almost \$67 million in needs-based student aid in 2018/19. Continued enhancements to Annual Student Financial Supports Report; implemented program-based tuition to provide for enhanced cost transparency for international students.</i>

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
		communication of information and access to shared, reliable institutional data. (2018) <b>Completed</b>	2017-EO3. Continued optimization of the university's financial resources, including the management of endowments, to support long-term student affordability and institutional sustainability. (2020)		<b>2017-EO3.</b> <i>Joint tuition and budget consultation mechanism with students in place; budgeting system, and multi-year planning framework implemented; new budget model in multi-year implementation phase.</i>
<b>2017-G7. SUSTAIN</b>  <b>Objective 20</b>	Continue to build and support an integrated approach to social, economic and environmental sustainability that incorporates teaching and learning, research, outreach, capacity building and the operations that support them. (2020) <b>Completed</b>	2017-P3. Integrate sustainability into teaching, learning, research and outreach in ways that foster critical, interdisciplinary, long-term and systems thinking on sustainability. <b>Completed</b>	2017-EO2. Continued advancement of the three pillars of sustainability: environmental, economic and social, through action to "green" U of A activities, reduce energy demands and promote sustainability across all university activities. (2020) <b>Completed</b>	2017-PM1. STARS Rating The Sustainability Tracking, Assessment and Rating System (STARS) is an integrated assessment of institutional sustainability. The university targets a Gold rating (2017: Gold rating achieved).  <b>Performance Measurement Results:</b> STARS evaluation is conducted on a tri-annual basis with the next rating due in 2020	Completed in 2019

**Adult Learning System Principle:**

**Quality** - Albertans should have the best education possible here at home.

**Related For the Public Good Goals:** Excel, Build, Experience, Engage

**Excel** as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research and service.

**Build** a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.

**Experience** diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

**Engage** communities across our campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships and collaborations.

## Key Accomplishments

The University of Alberta is ranked within the top five universities in Canada, and has an international reputation for excellence with both world-class teaching and research. It attracts top academic talent to Alberta, connects students with exceptional experiences that enable their success, and empowers leading researchers to generate widespread social and economic benefits.

- An unprecedented three U of A researchers each received a prestigious \$2.5 million Partnership Grant through Social Sciences and Humanities Research Council (SSHRC) to fund projects focused on how history is taught in K-12 classrooms, the preservation of Plains Cree and Tsuut'ina languages, and improvements to evidence-based testing for children.
- Canada Research Chairs represent research excellence at the national level. In 2019, 24 researchers from seven faculties received a total of \$18,300,000 from the Canada Foundation for Innovation.
- Marilyn Dumont, Associate Professor in the faculties of Arts and Native Studies, was awarded the Lieutenant Governor of Alberta's Distinguished Artist Award.
- When COVID-19 first emerged in Canada, 11 U of A research projects received \$5.9 million in grants from the federal government to examine measures to rapidly detect, manage, and reduce the transmission of the virus. One of our faculty members is serving on the Royal Society of Canada's Task Force to support Canada's response to and recovery from COVID-19.
- Robert Burrell, Chair of Biomedical Engineering, received Alberta's highest honour, the Alberta Order of Excellence. One of the technologies he's developed has been used in more than 100 countries around the world to treat wounds and save millions of lives.
- *More noteworthy accolades at a glance:*
  - Four Order of Canada appointees
  - One Royal Society of Canada fellow
  - Two Royal Society of Canada members
  - 29 Killam Laureates

## RESEARCH AND SCHOLARSHIP CRITICAL TO ALBERTA

### ***Economic Diversification***

- Six U of A projects received a total of \$6 million in Western Economic Diversification Canada funding, including \$1.15 million to help develop and enhance programs to increase the number of students, skilled workers and companies trained in artificial intelligence and data analytics in post-secondary institutions in the Edmonton region.
- U of A research expertise in artificial intelligence attracted a gift of \$1.25 million from Scotiabank to the Department of Computing Science in the Faculty of Science. The gift will support ongoing artificial intelligence research by our faculty and provide several experiential learning opportunities for students.
- A \$14.9 million investment from government and industry has helped to establish the Centre for Autonomous Systems in Strengthening Future Communities. The U of A is leading this collaborative initiative, which will engage the collective capacity of Campus Alberta to deliver autonomous systems for transportation, medical, and industrial applications to address challenges related to future communities, health, efficient energy production use, healthcare, and advance manufacturing.
- Three U of A researchers received funding from Canada-UK Artificial Intelligence Initiatives. Through the initiative, the two countries support collaboration in AI between stakeholders and build

competitive economies and maximize the social and health benefits of AI.

### ***Effective Resource Management***

- The Future Energy Systems signature area formally launched to build on the U of A's \$75-million Future Energy Systems program which is working to examine and innovate across the full energy spectrum, from industry to governance. 500 faculty members are involved, with research ranging from upgrading bitumen in pipelines to new kinds of solar fuels. The signature area was launched with industry support including Alberta Innovates, EPCOR Water Canada, and Canada's Oil Sands Innovation Alliance.
- U of A spinoff Forge Hydrocarbons, which produces next-generation renewable fuels, received an investment from Shell Ventures to help build a \$30-million production facility.

### ***Environmental Stewardship and Climate Leadership***

- For the 11th year in a row, the U of A maintained its status as one of Canada's greenest employers, making it the only Canadian post-secondary institution to be on the national list in all of these years.
- The Canadian Mountain Network, hosted at the U of A, received funding so that researchers can work to improve Canada's ability to identify and respond to changing conditions in mountainous regions.
- A new discovery by U of A researchers found 19 genes linked with feed efficiency that could help cattle farmers save money while reducing greenhouse gas emissions from their herds. Ultimately, this discovery could help pave the way to making cattle farming cheaper and more sustainable.
- U of A researchers created a new hydrogel from waste materials typically discarded by the forestry and fishing industries. The hydrogel could be used to replace petroleum in a number of products and in a number of biomedical applications.

### ***Engaged Individuals and Communities for a Healthy Alberta***

- U of A-led research is revolutionizing the way health professionals assess the decision-making capacity of seniors in Edmonton and across the province with a new toolkit. Endorsed by Covenant Health and Alberta Health Service, use of the toolkit led to a 60 per cent drop in referrals to geriatricians and an 80 per cent drop in the number of capacity interviews required.
- Medical researcher Samiina Ali is leading the Western Canadian arm of the national initiative Solutions for Kids in Pain. This initiative aims to improve children's pain care by bridging the gap between current approaches and available evidence-based solutions. The unprecedented collaboration between researchers, hospitals, patients and families will accelerate the 17 years it typically takes for new research findings to be put into practice and help children.
- The Supportive Care Pathway for Patients with Advance-Stage Chronic Disease project, led by U of A researcher Sara Davison, will standardize the process of care for treating common chronic diseases. The project will help primary care physicians and specialists work together to provide better patient care and reduce the burden on acute care resources like emergency rooms.
- Atlas Biotechnologies is funding three research studies in the Faculty of Medicine & Dentistry which will explore the use of medical cannabis for the treatment of multiple sclerosis, Alzheimer's, and Huntington's diseases.

## ANNUAL REPORT 2019-20

## Report on 2019-22 CIP Progress in Relation to Quality

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<b>2017-G8</b>  <b>EXCEL Objective 12</b>	Build a portfolio of Signature Areas of Research and Teaching Excellence where the University of Alberta is, or will be recognized, as a global leader. (2017-20)	2017-P1. Develop a process to identify and support established and emerging Signature Areas of Research and Teaching Excellence. (2018) <b>Completed</b>  2018-P1. Identify governance and oversight mechanisms for Signature Areas of Research and Teaching Excellence including review cycles and processes. (2020)	2017-EO1. Defined process identifying "signature", as well as emerging, areas of teaching and research excellence to be nurtured and strengthened for the future. (2017)		<b>2017-EO1. Completed.</b> <i>University has endorsed five Signature Areas of Research and Teaching: Precision Health, Energy Systems, Intersections of Gender, Situated Knowledges: Indigenous Peoples and Place, and AI4Society. Governance and oversight mechanisms in place.</i>
<b>2017-G9</b>  <b>EXCEL Objective 13</b>	Enable University of Alberta researchers to succeed and excel. (2020)	2017-P8. Secure and sustain funding for the continuous evolution and operation of research facilities and resources to meet the changing needs of our broad-based research community. (ongoing)	2017-EO2. Through partnerships with the federal and provincial governments, undertaking laboratory renewal projects that will modernize facilities to support research and learning environments on the Augustana Campus and at Campus SaintJean (supported by the Post-secondary Institutions Strategic Investment Fund (SIF). (2027) <b>Completed</b>  2017-EO6. A strong, dynamic research community pursuing excellent, relevant, interdisciplinary, high impact research to address complex problems at the local and global scales. (2020)	2017-PM3. Sponsored research funding: total and U15 rank (all sources and Tri-Council) (target: top 5; 2016/17: ranked 5).  2017-PM4. Citation impact. Targets not established.  2017-PM7. Research and teaching awards (Canada Research Chairs – CRCs – and 3M Teaching Awards) (Targets not established; Jan 2019 ranked fifth in CRCs)  ----- <b>Performance Measurement Results</b> In the most recent available data (2017-18) the U of A reached its target by ranking in fifth place among U15 peers for total sponsored research funding. (See Figure 2)  Over the past decade, the U of A has received the most 3M National Teaching Fellowship awards for excellence in educational leadership (See Table 11) and ranked fifth in receiving CRC Research Awards as of February 12, 2020 (See Table 12)	<b>2017-EO6. 2020 update: Five Signature Areas of Research and Teaching endorsed; International Strategic Plan adopted and in implementation phase; major research collaborations are ongoing</b>

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Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<b>2017-G10</b> <b>ENGAGE Objective 17</b>	Facilitate, build and support interdisciplinary, cross-faculty and cross-unit engagement and collaboration. (2020)	2017-P4. Identify and remove systemic barriers to interdisciplinary collaboration and where necessary, expand or create policies, resources, infrastructure and strategies to encourage and reward academic and administrative partnerships and collaborations. (2017-20)	2017-EO7. Development of an action plan for supporting and expanding interdisciplinary activities, beginning with an inventory of successes and challenges, an environmental scan and a review of best practices (2017-20)		<b>2017-EO7.</b> <i>The Office of the Vice-President (Research and Innovation) launched the Seed Grant pilot program - which requires involvement from at least two Faculties - in the fall of 2019, and the adjudication of the research proposals will take place in March 2020. The ongoing evolution of the five Signature Areas is also stimulating interdisciplinary teaching and research.</i>
<b>2017-G11</b> <b>BUILD Objective 2</b>	Create a faculty renewal program that builds on the strengths of existing faculty and ensures the sustainable development of the University of Alberta's talented, highly qualified and diverse academy. (2025)	2017-P7. Attract and retain a diverse complement of faculty and postdoctoral fellows from around the world, with initial attention on increasing the proportion of assistant professors. (ongoing)	See Accessibility, 2017-EO4, 2017-EO5.	2017-PM6. Incremental increase in proportion of professoriate at rank of Assistant Professors (target: 21% of faculty members at the rank of Assistant Professor by 2021; 2017/18: 19%).  ----- <b>Performance Measurement Results</b> The proportion of professoriate with the rank of Assistant Professors (compared to Professors overall) is 18.3% (375/2048).	
<b>2017-G12</b> <b>EXPERIENCE Objective 7</b>	Increase graduate and undergraduate students' access to and participation in a broad range of curricular experiential learning opportunities that are well integrated with program goals and enrich their academic experience. (2020)	2018-P2. Develop global competency in our graduates through more access to short and long-term outbound international experiences. (ongoing)  2017-P2. Increase students' experiential learning through mutually beneficial engagement with community, industry, professional and government organizations locally, nationally and internationally. (2019)  2017-P3. Expand professional development opportunities for graduate students	2017-EO3. Implementation of a Good Supervision awareness campaign and Graduate Student Management System, encouraging collegial models of supervision and mentorship. (2017-18)  2017-EO4. Increased access to, and use of, professional development (PD) opportunities for graduate students and post-doctoral fellows to support their job market Competitiveness, including through internship programs, events and workshops and on-line resources to improve their ability to compete in the global employment market. (2018)	2017-PM2. Student reported participation in High-Impact Practices (National Survey of Student Engagement-NSSE). Note: NSSE is currently administered in three-year intervals; latest administration was in 2017 (2017: 83.9%). (See Tables 7 and 8 for data on High-Impact Practices and Experiential Learning, respectively.)  2019-PM1. Student reported citizenship development (NSSE) (2017: 84.9%) (See Table 13)  2017-PM5. Employment outcomes two years after graduation: employment rate and mean income by degree level (Alberta Graduate Outcomes Survey-GOS) (2016: 94%). (See Table 9)	<b>2017-EO3.</b> <i>Continued support for graduate mentorship and implementing an annual progress report for graduate students.</i>  <b>2017-EO4:</b> <i>Continuing to add new professional development programming support for graduate students; PD team was recognized with a Canadian Association of Graduate Studies Award for its outcomes.</i>

## ANNUAL REPORT 2019-20

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
		and post-doctoral fellows. (2019)	2017-EO5. Enhanced and strengthened experiential learning opportunities for students achieved through the development of an institutional needs assessment, inventory and informational resource for students. (2017-19)	<p><b>Performance Measurement Results</b></p> <p>As noted above, the 2017 NSSE results present the most recently available data.</p> <p>While the 2018 graduate employment rate shows a slight decrease from previous administrations of the GOS in 2016 and 2014, the employment rate is still very high at almost 94%. It should be noted that this decrease coincides with a similar decrease in Alberta's employment rate.</p>	<p><b>2017-EO5.</b> <i>Informational resources about experiential learning opportunities are underway (e.g., Faculty of Arts currently leads the way with its Experiential Learning In Arts: Beyond the Classroom web site).</i></p>
<p><b>2017-G13</b></p> <p><b>EXCEL Objective 14</b></p>	<p>Inspire, model and support excellence in teaching and learning. (ongoing)</p>	<p>2017-P5. Foster, encourage and support innovation and experimentation in curriculum development, teaching and learning at the individual, unit and institutional levels. (2020)</p> <p>2017-P6. Provide robust supports, tools and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable and meaningful across disciplines. (2017-20)</p>	<p>2017-EO8. Increased instructor access to training and mentorship and uptake of new models for instructional design, assessment and teaching by the professoriate. (2017-20)</p>	<p>2017-PM1. Student reported experience with faculty (National Survey of Student Engagement- NSSE) and graduate student satisfaction (Canadian Graduate and Professional Student Survey- CGPSS).</p> <p><b>Performance Measurement Results</b></p> <p>The most recent administration of NSSE (2017) shows that just over 82% of survey respondents evaluated their entire educational experience at the U of A as <i>Good</i> or <i>Excellent</i>. This is an increase from approximately 79% in both the 2011 and 2014 survey administrations.</p> <p>The 2016 administration of the CGPSS shows respondent ratings of their overall experience at the U of A as <i>Good</i>, <i>Very Good</i> or <i>Excellent</i> remained consistently high (over 87%) over the past three survey administrations in 2010, 2013 and 2017. (See Tables 5 and 6.)</p>	<p><b>2017-EO8.</b> <i>The Centre for Teaching and Learning developed a framework for teaching effectiveness; online capacity has increased for asynchronous teaching workshop delivery, also increasing ease of access; a new Teaching Institute for development of teaching practices was piloted in August 2019.</i></p>

### Student Satisfaction, Senior Students

Consistently measured and monitored student satisfaction ratings serve as a barometer for educational experience (e.g. university performance, service delivery, student life, etc.). The following tables show that the undergraduate and graduate populations are consistently highly satisfied with their educational experience at the U of A.

#### Table 5: Student Satisfaction, Senior Students – Undergraduate Students

<i>Undergraduate</i>	2011	2014	2017
<i>How would you evaluate your entire educational experience at this institution? (Percent responding Good or Excellent)</i>	78.5%	79.2%	82.1%

**Source:** National Survey of Student Engagement (NSSE)

**Note:** Senior Students are in their final program year.

#### Table 6: Student Satisfaction – Graduate Students

<i>Graduate</i>	2013	2016	2019
<i>How would you rate the quality of your overall experience at this university? (Percent responding Good, Very Good or Excellent)</i>	87.3%	87.1%	88.3%

**Source:** Canadian Graduate and Professional Student Survey (CGPSS)

**Notes:** Represents responses from students in both course-based and thesis-based graduate programs.

## ANNUAL REPORT 2019-20

Due to their positive associations with student learning and retention, certain undergraduate opportunities are designated as *high-impact*. High-Impact Practices (HIPs) share several traits: they demand considerable time and effort; facilitate learning outside of the classroom; require meaningful interactions with faculty and students; encourage collaboration with diverse others; and provide frequent and substantive feedback.

From the National Survey of Student Engagement, the table below shows that the proportion of U of A Senior Students with HIP participation is slightly higher than the U15 average.

**Table 7: Experiential Learning, Senior Students, High-Impact Practices**

<i>Participation in High-Impact Practices (HIP)</i>	2014	2017
<i>Proportion of students participating in one or more high-impact practices</i>	84.0%	83.9%
<i>U15 average</i>	79.3%	81.4%

**Source:** National Survey of Student Engagement (NSSE)

**Notes:** Figures include participation in a learning community, service-learning, research with faculty, participation in an internship or field experience, study abroad, and culminating senior experience. NSSE is conducted every three years. Senior Students are in their final program year.

- 
- Co-op programs allow students to gain complementary employment experience that will assist them in making informed decisions regarding their future education, training, and careers.
  - Co-op participation has been consistent over the past years and is concentrated in the faculties of Business and Engineering.

**Table 8: Experiential Learning, Co-op Programs**

<i>Participation in Co-op Programs</i>	2017-18	2018-19	2019-20
<i>Percent of students participating in a co-op program</i>	8.3%	8.5%	8.6%

**Source:** Acorn Institutional Data Warehouse, U of A, Student Headcount and FLE

**Notes:** Participation rates reflect undergraduate students registered on December 1 of the reporting year. Excludes post-graduate medical education residents, students who are only auditing courses, and withdrawn students.

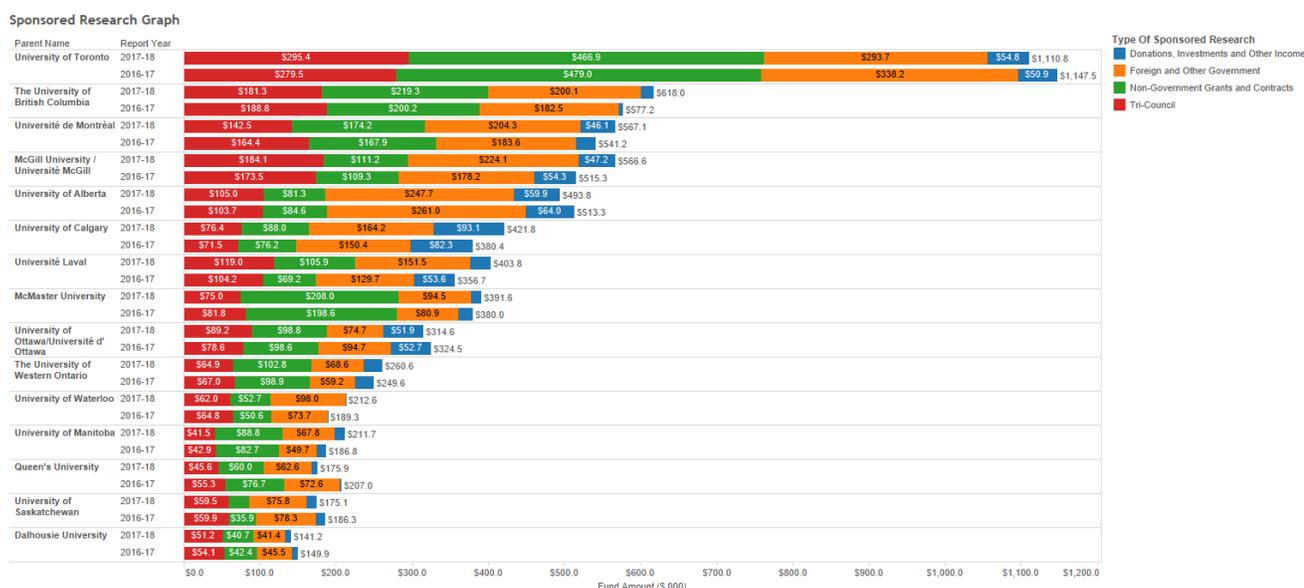
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### Sponsored Research Funding Received

Federal funding through the Canadian Institutes of Health Research, the Natural Sciences and Engineering Research Council, and the Social Sciences and Humanities Research Council (collectively termed Tri-Council funding) supports both basic and applied research. In addition, the university attracts substantial research funding support from other international, regional, and private sector partners. This measure demonstrates the U of A's success in attracting all types of research relative to Canada's other U15 universities.

The University of Alberta was ranked in fifth place (as of 2017-18) amongst U15 peers for total sponsored research funding as seen below.

**Figure 2: Sponsored Research Funding (in thousands of dollars)**



**Source:** Canadian Association of University Business Officers (CAUBO): Financial Information of Universities and Colleges, Report 3.1

**Notes:** Income from Tri-Council includes the following: Social Sciences and Humanities Research Council (SSHRC); Natural Sciences and Engineering Research Council (NSERC); and Canadian Institutes of Health Research (CIHR). Other Government income reflects income from all government departments and agencies; grants and contracts (less Tri-Council support), and includes foreign government income. Donations, Investment and Other income and Non-Government Grants and Contracts, are reported in each respective category on the CAUBO report. Université de Montréal includes HEC Montréal and École Polytechnique de Montréal.

Data are the most recent available.

## Graduate Employment, Two Years Post-Graduation

Graduate employment is regarded as a key outcome indicator. The U of A's graduate employment rate remains strong over the reported period. This indicator is sensitive to economic factors beyond the university's control, however, and will rise or fall with Alberta's employment rate. The decrease in 2016 and 2018 coincides with a similar decrease in Alberta's employment rate<sup>1</sup>.

**Table 9: Graduate Employment, Two Years Post-Graduation**

	2014	2016	2018
<i>Percent of respondents employed</i>	96.7%	93.9%	93.7%

**Source:** Alberta Graduate Outcomes Survey (GOS)

**Notes:** Includes degree recipients, two years post-graduation. The GOS survey instrument was slightly modified for each administration year, possibly contributing to deviations in the graduate employment rates.

## Student Perceptions of Teaching, Senior Students

Effective teaching practices are an indicator of student engagement. Students learn first-hand how experts think about and solve problems by interacting with faculty members.

U of A senior students report higher perceptions of teaching than their U15 counterparts, as indicated below.

**Table 10: Student Perceptions of Teaching, Senior Students**

	NSSE 2014 Mean score	NSSE 2017 Mean score
<i>Effective teaching practices</i> (Students report receiving clear course goals and requirements; organized course sessions; use of examples/illustrations; providing feedback on work in progress; providing feedback on completed work)	36.6	35.8
<i>U15 average</i>	34.8	34.3

**Source:** National Survey of Student Engagement (NSSE)

**Notes:** Each indicator is scored on a 60-point scale. To produce an indicator score, the response set for each item is converted to a 60-point scale (i.e. Never = 0; Sometimes = 20; Often = 40; Very often = 60), and the rescaled items are averaged. Thus a score of zero means a student responded at the bottom of the scale for every item, while a score of 60 indicates a student responded at the top of the scale for every item. Senior Students are in their final program year.

<sup>1</sup> Alberta Government Labour Force Statistics: <https://open.alberta.ca/publications/2727158>

## Major Research and Teaching Awards

The 3M National Teaching Fellowship awards excellence in educational leadership and teaching at the university and college level in Canada. Candidates are nominated, and up to ten fellowships are selected annually. The U of A's strength in garnering 3M National Teaching Fellowships demonstrates its proficiency in delivering exceptional teaching and learning opportunities. Compared to U15 peers, Table 11 shows that from 2011 to 2020, the U of A has received the most 3M awards.

**Table 11: Major Teaching Awards - 3M National Teaching Fellows (2011-2020)**

Rank	University	3M Fellows
1	University of Alberta	9
2	The University of British Columbia	8
3	University of Toronto	7
4	Western University	5
5	McMaster University	4
5	University of Calgary	4
6	Queen's University	2
6	Dalhousie University	2
6	University of Saskatchewan	2
7	University of Ottawa	1
7	McGill University	1
7	University of Waterloo	1

**Source:** 3M award counts from Society of Teaching and Learning in Higher Education

**Notes:** Data are the most recent available.

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## Canada Research Chairs

The Canada Research Chairs Program invests approximately \$265 million per year to attract and retain some of the world's most accomplished and promising minds<sup>2</sup>. Chair holders aim to achieve research excellence in engineering and the natural sciences, health sciences, humanities, and social sciences. As of February 12, 2020, the U of A is home to 84 Chair holders.

**Table 12: Major Research Awards Canada Research Chairs (CRCs), by U15 University**

Rank	U15 University	CRCs
1	University of Toronto	252
2	The University of British Columbia	155
3	McGill University	140
4	Université de Montréal, including HEC & Polytechnique	127
<b>5</b>	<b>University of Alberta</b>	<b>84</b>
6	Université Laval	68
6	McMaster University	59
8	University of Ottawa	57
9	University of Waterloo	56
10	University of Calgary	51
11	Queen's University	42
12	The University of Western Ontario	40
13	The University of Manitoba	38
14	Dalhousie University	36
15	University of Saskatchewan	19

**Source:** Social Sciences and Humanities Research Council of Canada

**Notes:** Includes active CRCs as of February 12, 2020. Includes awards funded from SSHRC, CIHR and NSERC. Université de Montréal includes École Polytechnique de Montréal and HEC Montréal. (A French-language management education and research university)

## Student-reported Citizenship Development, Senior Students

The percentage of senior students who felt that their U of A experience contributed to them being informed and active citizens remains high; and in the 2017 reporting period is slightly higher than the U15 average.

**Table 13: Student-reported Citizenship Development, Senior Students**

	2014	2017
<i>Experience at U of A has contributed to citizenship</i>	81.7%	84.9%
<i>U15 Average</i>	81.4%	83.7%

**Source:** National Survey of Student Engagement (NSSE)

**Notes:** Includes senior students who answered *Some*, *Quite a bit* or *Very much*, to the following question: "How much has your experience at this institution contributed to your knowledge, skills, and personal development in being an informed and active citizen?" Senior Students are in their final program year.

<sup>2</sup> Source: <http://www.chairs-chaire.gc.ca>, accessed April, 2018.

**Adult Learning System Principle:**

**Coordination** - Albertans should get full advantage from a diverse post-secondary system.

**Related For the Public Good Goals:**

**Engage** communities across our campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships and collaborations.

**Experience** diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.

**Sustain** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

**Excel** as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research and service.

**Key Accomplishments including Community Outreach Collaborations:**

The University of Alberta engages post-secondary and industry partners, non-profit organizations, communities and government to create reciprocal and mutually beneficial collaborations. These connections promote joint solutions to shared problems, facilitate knowledge translation, and magnify the reach and impact of Alberta's world-class research-intensive university.

- The University of Alberta and City of Edmonton are the first Canadian partnership to join more than 40 members in the international MetroLab Network. Through this partnership our researchers will engage in three meaningful projects related to transportation, elder care, and building sustainability for the benefit of many Edmontonians.
- The University of Alberta is the leading Canadian university in academic relations between Canada and China. A student and research exchange agreement with Tsinghua University in China was renewed following 20 years of successful collaboration that includes 35 joint research projects in the areas of clean energy, energy policy, transportation, and environment.
- The U of A received \$18.3 million of federal funding through the Networks of Centres of Excellence program for hosting the interdisciplinary Canadian Mountain Network. The Networks of Centres of Excellence is a federal government initiative that funds partnerships between universities, industry, government and not-for-profit organizations to create large-scale research networks.
- World-renowned chemist and glycomics expert Lara Mahal was named a Canada Excellence Research Chair and joined GlycoNet, a pan-Canadian Network of Centres of Excellence of more than 140 researchers at U of A.
- The *Housing for Health* pilot projects brings together academics at the U of A, health-care providers, housing developers, and multiple government and community partners to collaborate in the planning and design of housing developments for aging populations in Edmonton and Whitecourt.
- In support of veterans, soldiers, and their families, the Faculty of Rehabilitation Medicine established the Heroes in Mind, Advocacy & Research Consortium (HiMARC). In partnership with Alberta Health Services, Royal Canadian Legion Alberta, NAIT, Canadian Armed Forces, Veteran Affairs Canada, Covenant Health, and the Department of National Defence, U of A faculty has established several initiatives and projects, including the use of virtual reality to treat PTSD.
- Experts from the U of A and two universities in California partnered to launch the world's first open-source database for injury research. The availability of this data will improve research and treatment worldwide for about half a million patients.

## ANNUAL REPORT 2019-20

## Report on 2019-22 CIP Progress, in Relation to Coordination

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
<b>2017-G14</b>  <b>ENGAGE Objective 14</b>	Seek, build, strengthen and sustain partnerships with local, national or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business and community organizations. (2017-20)	<p>2017-P1. Provide leadership in Alberta's post-secondary sector and support integration, collaboration and partnership across the province's six-sector model through collaborations including but not limited to: project management support for Norquest college capital expansion; hosting of Olds College PeopleSoft financial system; coordinated commercialization activities between TEC Edmonton and NAIT. (ongoing)</p> <p>2017-P2. Maintain and pursue partnerships across the global academy to expand research and/or funding opportunities for our researchers and thus increase their capacity for success. (ongoing)</p> <p>2017-P3. Work closely with key provincial partners and government agencies, including members of Campus Alberta, Alberta Health Services, Alberta Innovates, The Alberta Library, NEOS, etc., to undertake mutually beneficial research and where possible, coordinate, streamline and deliver shared systems, services and processes to the benefit of all Albertans. (ongoing)</p>	<p>2017-EO1. Identification of specific opportunities for new and/or enhanced shared administrative services through discussions with the Government of Alberta and Campus Alberta institutions. (ongoing)</p> <p>2017-EO2. Enhancement of research partnerships supporting resource management, environmental stewardship, and healthy communities. (2020)</p>		<p><b>2017-EO1.</b> <i>Numerous shared service and collaboration initiatives in place, including in capital project management and IT procurement.</i></p> <p><b>2017-EO2.</b> <i>Examples of research partnerships include Future Energy Systems, a ten-year, \$75 million collaboration; Precision Health; and Rupertsland Centre for Metis Research.</i></p>
<b>2017 G15</b> <b>ENGAGE Objective 9</b>	Enhance, support, and mobilize the unique experiences and cultures of all University of Alberta campuses to the benefit of the university as a whole. (2017-20)	<p>2017-P5. Welcome increased community access, participation, and engagement at all University of Alberta sites, such as our downtown campus at Enterprise Square and our sports facilities at South Campus. (2017-20)</p> <p>2017-P6. Facilitate and deepen inter-campus connections, communication, and collaborations with Augustana Campus, and ensure that it is strengthened as a leading a liberal arts college, and</p>	2019-EO1. Enhancement of inter-campus connections and community access to University of Alberta campuses (2020)	2017-PM2. Development of action plan for leveraging multi-campus environment	<p><b>2019-EO1.</b> <i>Enhancement of service access at Augustana and Campus Saint-Jean underway, guided by consultation.</i></p>

## ANNUAL REPORT 2019-20

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
		as a living laboratory for teaching and learning innovation, to the benefit of the entire university. (2017-20)			
<b>2017-G16</b> <b>ENGAGE</b> <b>Objective 16</b>	Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university community connections. (2021 and ongoing)	2017-P4. Engage with government, community, industry, business, and the post-secondary sector to address shared local, provincial, national, and global challenges, building on the success of collaborative projects like the Future Energy Systems). (2020)	2017-EO3 updated to: 2019-EO2. Development of a Community Engagement Consultation to inform development of an institutional community engagement plan.	2017-PM1. Moved to Quality.	<b>2019-EO2.</b> <i>Community engagement consultation sessions completed. Drafting report/plan in 2020.</i>
<b>2017-G17</b> <b>SUSTAIN</b> <b>Objective 21</b>	Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals. (ongoing)	2017-P7. Through delivery of the Information Technology investment plan, facilitate easy access to, and use of, university services and systems; reduce duplication and complexity; and encourage cross-institutional administrative and operational collaboration. (ongoing)	See Accountability, 2019-EO1		

**Adult Learning System Principle:**

**Accountability** - Post-secondary education providers must be accountable to students, the government, and Albertans.

**Related For the Public Good Goals:**

**Build** a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world.

**Sustain** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

**Key Accomplishments:**

As a proud public institution, the University of Alberta not only serves Albertans and Canadians, but also receives their steadfast support. It maintains that support and trust by taking seriously the responsibility to steward and sustain public investments in its people, operations, infrastructure, and systems.

- The U of A held strong as one of the top five universities in the country, according to the 2020 QS World University Rankings and *Macleans* 2020 Canadian University Rankings.
- The U of A implemented a new activity-based budget where faculty revenues depend on teaching and research activities rather than on historical allocation of resources. The new model promotes a greater accountability of and responsibility for how resources are allocated and used, which allows the university to be more strategic and ensures financial sustainability.
- The U of A participated in review of administrative services on campus. In 2019 two surveys and an activity data collection were completed. The information gathered will help to ensure that the university remains a reliable and effective steward of public support.
- With feedback from the campus community, the U of A implemented its Integrated Asset Management Strategy which is the framework within which all infrastructure planning occurs. It sets out a collective mission, principles, goals, and actions for future-proofing our physical infrastructure and related costs.
- With newly-granted approval to transfer land assets to the University of Alberta Properties Trust Inc., the U of A now has an opportunity to develop a long-term revenue stream into an endowment that can be leveraged to assist in upgrading campus infrastructure in support of our teaching, learning, and research mission.
- With consideration for public health initiatives and changing habits and regulations around tobacco, vaping, and cannabis, the U of A is working to develop new guidelines about smoking on campus.
- The University of Alberta's story needs to be shared, understood, and valued by our many communities both here at home and much further afield. To do that, we must understand how that story is being shared and received today. To better understand the university's public reputation and profile, a brand audit was initiated locally, provincially, and nationally.
- In response to a request from the provincial government The University of Alberta formally adopted a Statement of Free Expression that is reflective of the university's commitment to providing spaces that balance discourse and debate with inclusiveness and respect for human dignity.
- *Alberta's Public Interest Disclosure Act* (PIDA) – no disclosures were reported this past year.

## ANNUAL REPORT 2019-20

## Report on 2019-22 CIP Progress, in Relation to Accountability

Goal Type <i>For the Public Good Alignment</i>	Goal Description	Priority Initiative and Expected Completion Date and, if Applicable, Revised Expected Completion Date (from CIP)	Expected Outcomes	Performance Measures	Status / Progress Made in Last 12 Months
2017-G18 <b>BUILD Objective 6</b>	Build and support an integrated, cross institutional strategy to demonstrate and enhance the University of Alberta's local, national and international story, so that it is shared, understood and valued by the full University of Alberta community and its many stakeholders. (2019)	2017-P1. Develop a set of equitable, meaningful and relevant measures to monitor our progress towards strategic goals and develop the tools required to report on them. (2018) <b>Completed, as reflected in CIP Performance Measures and in annual reports to the Board of Governors</b>  2017-P2. Communicate, using both quantitative and qualitative evidence, how the University of Alberta serves as a cornerstone of the community bringing widespread economic and societal benefits to all Albertans, as well as to national and international partners and stakeholders. (2019)	2017-EO1. Enable the university to satisfy accountability requirements and expectations for key stakeholder communities. (ongoing)  2017-EO3. Increased community awareness of the university and its social, economic and historical contributions to the province, the country and the world. (2019)  2017-EO4. Ongoing advocacy and increased pride in the institution among key stakeholders and the community at large, achieved through engagement with and exposure to U of A scholars and the work of the university. (2021)	2017-PM1. Media impact: mentions. Media impact measures assist in evaluating the university's performance in communicating its value and contributions to the community at large.  <b>Performance Measurement Results</b> During this reporting period, the U of A had approximately 71,400 media mentions	<b>2017-EO1.</b> <i>Ongoing work to deliver clear, evidence-based communications.</i>  <b>2017-EO3.</b> <i>Evaluation of national awareness completed.</i>  <b>2017-EO4.</b> <i>A broad portfolio of alumni programs are offered to deepen engagement among U of A alumni networks. Alumni programs showcase alumni impact and university discovery, and demonstrate the impact of volunteerism in supporting students, career mentorship and community projects.</i>
2017-G19 SUSTAIN Objective 21, 22	Ensure responsible and accountable stewardship of the university's resources and demonstrate to government, donors, alumni and community members the efficient and careful use of public and donor funds. (2020)	2017-P3. Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research and community engagement. (2019)	2017-EO2. Demonstration of strong financial stewardship through the implementation of a revised budget model to demonstrate the alignment of financial resources with university objectives. (2019)	2017-PM2. Financial stewardship. The university's Audited Financial Statements and accompanying analysis are the foundational reporting and accountability mechanisms for goals and initiatives related to financial stewardship. Operational efficiency is reported under Affordability (PM2).	<b>2017-EO2.</b> <i>Continued enhancement of budget transparency; budgeting system, and multi-year planning framework implemented; new budget model in multi-year implementation phase</i>  <i>Also, with feedback from the campus community, the U of A implemented its Integrated Asset Management Strategy which is the framework within which all infrastructure planning occurs. It sets out a collective mission, principles, goals, and actions for future-proofing our physical infrastructure and related costs..</i>

## ENROLMENT & PROGRAM CHANGES

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### Enrolment

Overall:

- Program enrolment has been stable and is expected to continue to be stable over the next three years.
- The University's proportion of international students remains stable.

### Program Changes

The following programs were approved by Advanced Education this past year:

- Bachelor of Arts in Media Studies
- A streamlined Modern Languages and Cultural Studies Program
- Graduate Certificate in School Leadership
- Graduate Certificate in "Administration et Leadership Scolaire"

# UNDERREPRESENTED LEARNERS

## COMMUNITY PARTNERSHIPS TO ENHANCE ACCESS AND PATHWAYS INTO LEARNING

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This past year, the university undertook a number of key activities upholding its commitment to support underrepresented learners, and to develop strong networks with community partners to enhance access and pathways into learning; examples of these activities are highlighted below.

- Provision of funding to undergraduate students on the basis of both merit and need continues to be a priority. Supporting affordable access to post-secondary education for Albertan, Canadian, Indigenous, and international students is critical in ensuring the university attracts and retains outstanding students from diverse regions and backgrounds. As such, the university began development and consultation for a new Policy Suite on Student Financial Support (SFS). The proposed policy articulates the university's commitment to provide and optimize student financial supports to ensure academically qualified students can attend the university, and reasserts the important partnership that exists between the University, governments and students in funding education.
- The university implemented a new tuition model for international students starting fall 2020. A program-based approach was introduced in order to offer a tuition guarantee. This offers stable and predictable tuition over a longer term and provides applicants with approved tuition amounts earlier in the process, creating an environment where international students can better plan for their education.
- The university has continued to actively recruit rural students. This year, the university introduced *Green and Gold Getaway*, a new initiative to provide prospective learners from across the province to visit campus for a weekend to experience the U of A. The university's investment in expanding student residence capacity directly supports access for Albertan students from outside Edmonton, and particularly rural students, and provides students living in residence with a range of supports.
- The university continued to play a key role in supporting access for francophone students across the province. Campus Saint-Jean is the only francophone post-secondary campus in western Canada, offering an immersive cultural and academic experience that ensures Franco-Albertan students can access high quality university programs in French without leaving their home province.
- The U of A has maintained its emphasis on providing a range of resources to support students with disabilities and students with other diverse needs. Where warranted, and without compromising its academic standards, the university will modify program course load, examination procedures, and other academic requirements to permit students with disabilities to complete their programs. Accommodations are provided through student support services, and include modifications for courses and examination. In addition, the Centre for Teaching and Learning provides support for instructors, including guidance on inclusive language and inclusive interactions and on principles of universal design in education. The university incorporates accessibility considerations into new capital construction projects, including significant renovations of existing facilities.
- The university supports sexual and gender minorities across our campuses through policies, programs, services, and events. Specific supports include: providing a dedicated Community Liaison Officer through University of Alberta Protective Services; identifying single-use, all-gender washrooms across North Campus; offering gender inclusive housing in residences; and providing access to health services through the University Health Centre. The university celebrates Pride Week annually to celebrate the diversity of our sexual and gender minority community.

- Formally adopted in 2019, the university's four-year Strategic Plan for Equity, Diversity, and Inclusivity (EDI) includes the following components and will report on progress against its EDI objectives on an annual basis:
  - To identify any gaps in EDI-related student services and to review accommodation policies and processes.
  - A range of data collection initiatives to enhance our understanding of barriers to student inclusion and to identify additional opportunities to enhance student supports.
  - The plan complements and builds on a number of faculty-level plans and programs, including faculties' gender equity plans for Canada Research Chairs. Several faculties, including Engineering and Science, have implemented senior leadership positions focused on gender equity and other aspects of EDI.

Also as part of the EDI plan, a website has been launched (EDI Gateway) to improve accessibility of services and supports.

- The university implemented a Workforce Diversity Census with a focus on the importance for students to have access to a university community reflective of Alberta's diversity.
- To promote both consistency among the supports available to students and timely decision-making efforts, the Office of the Vice-Provost and Dean of Students began an active review of accommodation practices across the university.
- In response to the changing needs of all our students, the university has continued to refine processes, improve access to information and enhance the ways in which we support and serve our students and faculty partners. Examples of this include:
  - We have developed a virtual assistant tool for our Student Connect Service centre. Vera (named in honor of our university motto *quaecumque vera*) is designed to answer questions 24/7 and has already reduced the number of inquiries received by Student Connect and the speed at which students can access information.
  - The Enrolment Management Policy Suite, which was approved by the Board of Governors in May 2019, provides a framework for managing institutional enrolment and meeting short- and long-term faculty objectives through shared planning and data-driven decision-making.
- A key component of building an equitable and inclusive university is responding to the Calls to Action in the Truth and Reconciliation Commission. The Vice-Provost (Indigenous Programming and Research) portfolio was established to lead development, consultation, and approval of the Indigenous Strategic Plan, build and nurture positive relationships with Indigenous communities, support the work of faculties and departments to Indigenize curricula across programs, and foster a supportive environment for Indigenous faculty, students, and staff.
- Along with the other 16 Canadian medical schools, the U of A endorsed the national Joint Commitment to Action on Indigenous Health which outlines actions for building meaningful relationships with Indigenous communities, increasing the number of Indigenous physicians, developing an Indigenous health curriculum, and developing policies of cultural safety.
- Land-based learning is a significant part of Indigenous cultures and involves interaction with nature to encourage critical thought. In an effort to recognize its value in classrooms, the Faculty of Native Studies hosted its first land-based class on campus.
- With the formal launch of the Intersections of Gender Signature Area, the U of A is the first university to make intersectional gender research and teaching a strategic priority.

- USchool celebrated its 10<sup>th</sup> anniversary in 2019. USchool offers programming to students from socially vulnerable or marginalized communities, including Indigenous communities, newcomers, and single-parent families. Since its inception, approximately 5,200 elementary and junior high students have participated in the program.
  - Theetso Motsamai received his PhD in diamond research and exploration from the Faculty of Science, making him the first-ever diamond research expert from Botswana Africa. Motsamai joined the U of A community as a PhD student because he “wanted to learn from the world’s best known diamond experts.”
  - The U of A formally signed The Dimensions Charter, a national agreement aimed at increasing equity, diversity, and inclusivity in Canada’s post-secondary institutions. The university is currently on track to meet targets for diversity among its representative Canada Research Chairs, and has incorporated equity, diversity, and inclusiveness into its selection process for major academic and research awards.
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# INTERNATIONALIZATION

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The university's international collaborations continue to create exceptional learning, discovery, citizenship, and innovation opportunities to advance the institutional vision of being one of the world's top publicly funded institutions for the benefit of our students and the province.

A key focus of the university's international goals is to ensure that University of Alberta students graduate with the curiosity, confidence, and competence to engage in an increasingly globalized world. Providing students with opportunities to enhance their global understanding and develop intercultural competencies takes place in our classrooms through experiential learning and education abroad programming, and in the social and extra-curricular activities happening across our campuses. International students contribute to the diversity of our campus learning environment. Many wish to become Canadian permanent residents after graduation, contributing their talent and resources to further strengthening Alberta's position as an investment-ready province with a highly skilled workforce. International students who return home are potential allies for deepening trade relationships between their home countries and Alberta.

As an enrolment managed institution, the university builds its class with a clear focus on attracting students from all parts of Alberta. Rural and Indigenous Albertan students are designated as priority undergraduate enrolment groups in the design of outreach and recruitment programming. In the University of Alberta Calendar, we also set out a specific commitment to access for Alberta students, i.e., “[n]o non-resident shall be admitted to a Faculty who is less qualified than any Alberta resident who is denied admission to that Faculty.”

## GLOBAL LEARNING

U of A programs enhance student perspectives on challenging global issues and promote cross-cultural understanding and communication skills. Many of these experiences are made possible through reciprocal agreements between the U of A and other institutions across the globe. Alberta students would not have these opportunities unless we equally offer them to visiting international students. Our student-centred initiatives, which promote global learning, include:

- Placements funded by the Queen Elizabeth Scholarship (QES) program: U of A has been awarded funding for four separate initiatives. The first two (now concluded) sent Alberta students abroad and welcomed visiting international scholars focused on the themes of *Global Generation: Energy and the Environment* and *Improving Individual and Community Health in the Commonwealth*. Over the course of four years, 142 students received funding for their placements. Currently, the Faculty of Nursing is operating its QES Advanced Scholars program, which will provide funding for 24 outgoing and incoming PhD and Post-Doctoral researchers and scholars. As well, UAI is administering a new project focused on the theme of *Securing our Shared Global Future: Student Leadership for Change*. This project will provide funding for 43 U of A students to complete placements around the globe focused on the UN sustainable development goals.
- The Worldwide Universities Network Summer School, hosted in July 2019, which welcomed 21 students from 13 WUN member universities to learn about energy transitions from faculty and researchers across many disciplines.
- Enhanced experiential, internship and co-op opportunities in international settings (including e3 in Berlin, Brazil, the French Alps, and Washington DC, as well as other educational and research abroad programs in more than 60 countries).

- The Certificate in International Learning (CIL), an embedded undergraduate certificate, documenting students' participation and achievement in international learning. This past year, 69 students completed the CIL. Students are required to have a significant intercultural experience, course work and a capstone project to demonstrate their international learning.
- The Canada Learning Initiative in China (CLIC), through which we provide national leadership to increasing Canadian students' understanding of China. 2019-2020 highlights include:
  - A total of 196 students studied in China (54 from U of A).
  - University of Toronto and McGill University joined the consortium, bringing the total membership to 11 of Canada's U15 universities.
  - A joint workshop between Canadian and Chinese universities was held in Ottawa with a focus on increasing participation and student learning outcomes.
- Increased opportunities for U of A students to participate in shorter-duration international experiences, either as an integral component of academic courses or independently.
- Many formal joint and double degree programs with partner institutions from around the world.
- International Week, which completed its 35th year, with a focus on the UN's Sustainable Development Goals (SDGs) and how we can all play a role in working towards them. The program included 14 events ranging from keynotes to a Student Clubs Fair to a concert. Attendance at these events was over 1,400.
- The World's Challenge, which invited U of A students to share their innovative solution to a major global issue. The team with the best proposal was awarded \$10,000 to make their solution a reality and will go on to represent the U of A at the international finals at Western University in June 2020, where they will compete for a \$30,000 prize.

## DIVERSITY & INCLUSION

The presence of international students and foreign-trained post-doctoral fellows, faculty and staff broadens the perspective, impact, and relevance of the U of A's teaching, research, creative activities, and community service work. They also bring cultural diversity together with global connections, insights, and alternative perspectives on issues and challenges that better position the university, businesses, and the province.

Recruitment of exceptional undergraduate and graduate students from targeted highly ranked foreign institutions, and the recruitment of international students already studying at Canadian high schools and post-secondary institutions, advances the university's global academic enterprise and objectives, and also enhances reputation, assisting with the development of diversity in Alberta and Canada. The University of Alberta was pleased to welcome 1,379 new international undergraduate students to campus this year, representing 73 countries, along with 755 new international graduate students from 70 countries. In 2019-20, 15.3 percent of our undergraduate population and 39.8 percent of our graduate population were international students.

Supporting our international students' success and ensuring they are welcomed and included in our communities is of critical importance. Initiatives to highlight this year include:

- The U of A coordinated the Edmonton Post Secondary Airport welcome booth, greeting close to 1,000 newly arriving international students in late August.

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- A new on-line orientation program was delivered to over 900 students in preparation for their move to Canada.
- Valuable paid work experiences for over 600 graduate students, provided by the U of A, since the Graduate Student Internship Program (GSIP) formally launched in January 2016. The program is based on a wage subsidy model supported by funds from a Government of Alberta grant called *A Vision for Innovation in Alberta: Excellence and Transformative Talent*. International students are taking advantage of GSIP to gain valuable Canadian work experience as they represent approximately 50% of the graduate student internship talent pool. International students also access the support of GSIP Advisors to get help with their resumes and prepare for upcoming interviews.
- The university's PhD onboarding event in August, which supported the transition from PhD applicant to student. Nearly 60% of the 123 registrants were international students; the cornerstone of the event was a session called *Strategies for Succeeding in Graduate Studies and Beyond* (affirming that students have what it takes to excel in a Canadian university and the steps they need to take to continue this journey). A second event in February focused on strategies for speaking to a supervisor, as considered through a multicultural lens.
- *Share the Cheer*, a program that connects members of the university community to host international students for a meal during the winter holidays, which matched 96 hosts with 308 students in 2019.
- The university welcomed five new recipients of the President's Award in 2019. They are from South Sudan, Somalia (2), Burundi and the Democratic Republic of the Congo. U of A assists these students in a number of ways including through a program that recruits and trains volunteers to support them. This year, 28 volunteers supported the President's Award recipients.

**RESEARCH**

The U of A is a research-intensive institution with output that is recognized globally in diverse disciplines. Through active, collaborative research with teams from all over the world, professors advance knowledge, education, and pedagogy in their respective disciplines. Global research engagement has many benefits for the U of A and the province, including leveraging funding resources and expertise from other parts of the globe to address challenges that affect everyone, including Albertans. Much of this funding goes to support domestic students in advanced degrees. The university continues to engage in high-quality, multidisciplinary, multinational research projects in many parts of the globe, including:

- Strengthening existing strategic international institutional partnerships, as highlighted below.
- Fostering new, multidisciplinary, multinational research projects in diverse disciplines with partner institutions from other countries.
- Leveraging international funding to secure resources to tackle emerging problems in regions of interest enhancing reach and implementation of U of A research outcomes at home and abroad.

U of A is currently leading or involved with six Research Development Funds (RDFs) through its membership in the Worldwide Universities Network (WUN), a group of 23 universities spanning 13 countries on six continents. WUN creates opportunities for international collaboration with other top universities, including research, internships, and study abroad.

## **INTERNATIONAL INSTITUTIONAL PARTNERSHIPS - RESEARCH CONSORTIA AND PARTNERSHIPS FORMED WITH TOP-TIER INTERNATIONAL PARTNERS**

### **CHINA**

The annual joint research workshop of the University of Alberta - East China Normal University (ECNU) Joint Institute of Advanced Science and Technology took place in Edmonton in June 2019. During the 2-day event, five ECNU professors had discussions with over 30 U of A faculty members, post-doctoral fellows and PhD students in the areas of photonics, spectroscopy, lasers and nanoscience. The joint institute steering committee meeting also took place after the workshop and the plans for future development were discussed.

The Joint Research Centre for Future Energy and Environment between U of A and Tsinghua University, China's leading science and technology research-university, continued its strong development. The Centre focuses on developing low-carbon, sustainable energy solutions while tackling global environmental challenges in Canada and China. In March 2019, the Chinese Ministry of Education (MoE) announced that the Low Carbon & Clean Energy Innovation International Collaborative Joint Research Lab had passed the review undertaken in January 2019 and completed its initial 3-year establishment stage. After a further 3-year development stage, it will be eligible to become a MoE funded joint research lab. In July 2019, seven joint research projects were funded, following an initial seven projects funded in 2018. An annual joint research workshop was held at U of A in September 2019.

In October 2019, President Turpin presented a keynote speech on "Alternative Energy: Potential to Power the Future" as part of the Canadian Embassy in Beijing's "Canada in Conversation" high-profile lecture series, hosted by Ambassador Dominic Barton. A panel of leading members of industry, academia, and non-governmental organizations, including the UN Development Programme, were also part of the event, which was widely covered in the Chinese media.

U of A continues to welcome the most China Scholarship Council students and scholars of all universities in the world.

### **GERMANY**

The U of A works with several major research partners, including the Alexander von Humboldt Foundation, German Research Foundation (DFG), the German Academic Exchange Service (DAAD), and the Helmholtz Association of German Research Centres.

The university has been building up key partnerships with RWTH Aachen University and the University of Bielefeld, which include research collaboration, internships, and study abroad programs. RWTH Aachen and U of A launched a senior research fellowship program, which provides support to researchers for short term research visits.

In Fall 2019, academics from U of A attended the Berlin Week of Science, one of the world's most prestigious symposiums on scientific advancements, and hosted two events at the Canadian Embassy to lead the German-Canadian dialogue on innovation through intersectional gender analysis. The events were organized by U of A International, U of A's Intersections of Gender Signature Area, and the Institute of Interdisciplinary Gender Studies at the Technical University Berlin, with support from the German Research Foundation (DFG), Global Affairs Canada and the University of Bielefeld. The panels featured German and Canadian senior research administrators, including from the National Research Council of Canada and the Canadian Institutes of Health Research.

**INDIA**

In January 2020, the U of A signed agreements with several Indian Institutes of Technology (IITs), India's top science and technology institutions, to establish Joint Doctoral Degree Programs (JDPs) that will facilitate mobility of PhD students to pursue research under a host supervisor for periods of up to one year. The programs will be launched in 2020 with IIT Bombay, IIT Kharagpur and IIT Roorkee. While leading institutions in other countries such as Australia, Germany and Singapore have comparable JDPs with IITs, these are the first of their kind among Canadian universities.

U of A also received almost 50 applications in 2019 for the 10 inaugural placements of the Science and Engineering Research Board (SERB) of India's Overseas Visiting Doctoral Fellowship (OVDF), a sponsored visiting PhD student program which involves supervisors from both U of A and India. U of A is one of only two universities worldwide authorized to participate in the OVDF and was the first to sign an agreement for it with SERB in 2016.

In April 2019, Engage India: Association of Professors, a network of professors interested in fostering collaborative research and academic exchanges with partners in India, was launched at the U of A. Membership has since grown to over 40 researchers covering nine U of A faculties, each with their own affiliations and interests in Canada-India relations.

**MEXICO**

During President Turpin's visit to Mexico in December 2019, the University of Alberta signed an agreement with Tecnológico de Monterrey, one of the country's top universities. The institution-wide MOU includes plans for a Seed Grant Program for Joint Research Projects, through which each side will contribute to funding up to six joint projects per year, for three years.

**USA**

In 2019-2020 the University of Alberta welcomed three visiting Fulbright Research Chair scholars. Two scholars from US universities were placed in the Faculty of Arts in the Fulbright Chair positions "Society and Culture" and "Arts and Humanities." The third Fulbright Research Chair scholar was placed in the Faculty of Education.

The university recently added a new Fulbright Research Chair position. The School of Public Health at U of A established the Fulbright Canada Research Chair in Healthy Northern or Indigenous Communities. U of A now advertises eight Fulbright Research Chair positions, the most of all Canadian universities.

**OTHER**

During this past fiscal year:

- The university signed approximately 150 international collaboration agreements to facilitate activities ranging from faculty and student mobility to joint academic programs, to training for professionals.
- U of A International was involved in over 70 visits by representatives of international governments, universities, and other institutions in order to strengthen the university's opportunities, connections, and profile. Visitors included Her Imperial Highness Princess Takamado of Japan, the High Commissioner of India to Canada, a Member of the EU Parliament, a senior delegation from Aga Khan University, and groups of researchers from partners RWTH Aachen University in Germany, Tec de Monterrey in Mexico, and Tsinghua University in China.

- The University of Alberta continued to partner with the Institute of International Education (IIE) on the Scholar Rescue Fund through which 2 scholars, from Syria and Yemen, were supported in 2019/20 to do research at U of A.
- As a result of the first round of applications, three Master's students from Mexico and Chile arrived to study at U of A through the Canada-Pacific Alliance Scholarships Program (CPASP), which is administered by U of A International and funded by Global Affairs Canada. Eight trainees completed a two-week program at U of A in September 2019, and 13 participated in a short course taught by a U of A professor in Mexico in February 2020. Another 37 funded trainees from Pacific Alliance nations will complete short courses by June 2020.
- SENER-CONACyT Hydrocarbon Fund Networks: As part of U of A's engagement with the Mexican Secretariat of Energy (SENER)-National Council of Science and Technology (CONACyT) Hydrocarbon Fund, the first year deliverables of three networks funded by Mexico were implemented and year-one financial and technical reports submitted to the National Council of Science and Technology (CONACyT). Two of the networks are research-based and incorporate expertise housed in our Faculty of Engineering. The third network is a capacity development training project coordinated by U of A International.

Table 14: Transnational Programs

Name of Program	Type of Credential	Principal mode of delivery (e.g. in-person; international campus)	Name of Partner Institution	Country	Number of Students / Participants (19/20)	Number of Graduates / Completers
<b>UNDERGRADUATE PROGRAMS</b>						
Faculty of Arts - Ritsumeikan University Undergraduate Dual Degree Program	Bachelor of Arts from each institution	In person	Ritsumeikan University	Japan	1	0
<b>GRADUATE PROGRAMS</b>						
Faculty of Agricultural, Life & Environmental Sciences Transatlantic Master's Programs Leading to Dual Degrees in Forestry and Environmental Management (TRANSFOR-M)	MSc or Master of Forestry from U of A; degrees from other institutions vary	In person	Albert-Ludwigs-University (Freiburg)	Germany	5	IP
			Bangor University (Wales)	UK	3	
			University of Eastern Finland	Finland	0	
			University of Natural Resources and Life Sciences, Vienna	Austria	1	
			University of Padova	Italy	2	
Faculty of Agricultural, Life & Environmental Sciences - GSCAAS Joint Doctoral Degree Program	Joint PhD from UAlberta	In person	Graduate School of the Chinese Academy of Agricultural Sciences (GSCAAS)	China	0	0
Faculty of Arts - LMU Joint Doctoral Degree Program	PhD from home institution with notation on parchment	In person	Ludwig-Maximilians-Universitat Munchen (LMU)	Germany	4	IP
Faculty of Science - LMU Joint Doctoral Degree Program						
Faculty of Education - BNU Dual Master's Degree Program	MEd in Educational Psychology from UAlberta and Master's at BNU	In person	Beijing Normal University (BNU)	China	not yet started	
Faculty of Education - SNU Dual Graduate Degree Program	MA/MSc/MEd or PhD/EdD with notation on the parchment of both institutions.	In person	Seoul National University (SNU)	South Korea	1	IP
Faculty of Engineering - ULorraine Dual Master's Degree Program	MSc from UAlberta and Dipl. of Ing. degree or MSc from INPL	In person	University of Lorraine (ULorraine)	France	4	IP
Faculty of Engineering - USM Dual Doctoral Degree Program	PhD from each institution	In person	University Santa Maria (USM)	Chile	0	0
Faculty of Graduate Studies and Research - IIT Bombay Joint Doctoral Degree Program	Joint: PhD from home institution with notation on parchment at UAlberta, or with a separate certificate from IITB noting the co-supervision program	In person	Indian Institute of Technology (IIT) Bombay	India	not yet started	0
Faculty of Graduate Studies and Research - IIT Kharagpur Joint Doctoral Degree Program	Joint: PhD from home institution with notation on parchment	In person	Indian Institute of Technology (IIT) Kharagpur	India	not yet started	0
Faculty of Graduate Studies and Research - IIT Roorkee Joint Doctoral Degree Program	Joint: PhD from home institution with notation on parchment	In person	Indian Institute of Technology (IIT) Roorkee	India	not yet started	0
Faculty of Kinesiology, Sport, and Recreation - Yonsei Dual Doctoral Degree Program	PhD from each institution	In person	Yonsei University	South Korea	0	0

## ANNUAL REPORT 2019-20

Name of Program	Type of Credential	Principal mode of delivery (e.g. in-person; international campus)	Name of Partner Institution	Country	Number of Students / Participants (19/20)	Number of Graduates / Completers
Faculty of Medicine & Dentistry - Saarland Joint Doctoral Degree Program	PhD from home institution with notation on parchment	In person	Universität des Saarlandes	Germany	1	IP
Faculty of Medicine & Dentistry - TUK Joint Doctoral Degree Program	PhD from home institution with notation on parchment	In person	Technische Universität Kaiserslautern (TUK)	Germany	not yet started	0
Faculty of Pharmacy and Pharmaceutical Sciences - USP Dual Graduate Degree Program	MSc or PhD from each institution	In person	Universidade de Sao Paulo (USP)	Brazil	0	0
Faculty of Science - TUM Joint Doctoral Degree Program	PhD from home institution with notation on parchment	In person	Technical University of Munich (TUM)	Germany	1	0
Faculty of Science - UNICAMP Joint Doctoral Degree Program	PhD from home institution with notation on parchment	In person	Universidade Estadual de Campinas (Unicamp)	Brazil	0	0
Faculty of Science - UPM Dual Doctoral Degree Program	PhD from each institution	In person	Universiti Putra Malaysia (UPM)	Malaysia	1	IP
School of Business - NUCB Dual Master's Degree Program	MBA from each institution	In person	Nagoya University of Commerce and Business (NUCB)	Japan	0	0
School of Business - WHU Dual Master's Degree Program	MBA from UAlberta and MSc or MBA from WHU	In person	WHU – Otto Beisheim School of Management	Germany	0	0
School of Business - EDHEC Dual Master's Degree Program	MBA from U of A and MSc from EDHEC	In person	EDHEC Business School	France	4	IP
School of Business - Master of Business Administration (MBA) in Mandarin Program in Shenzhen	MBA from UAlberta	International branch program	Shenzhen Leaguer Co., Ltd.	China	84 (9 admissions to Winter 2020 cohort deferred to Spring due to coronavirus)	IP
School of Business - Master of Business Administration (MBA) in Mandarin Program in Shanghai	MBA from UAlberta	International branch program	Shanghai Joint-Share Business Management Co., Ltd.	China	0 (15 admissions to Winter 2020 cohort deferred to Spring due to coronavirus)	IP
School of Business - Master of Financial Management (MFM) in English Program in Shenzhen	MFM from UAlberta	International branch program	Xi'an Jiao Tong University	China	90 (13 admissions to Winter 2020 cohort deferred to Spring due to coronavirus)	IP
School of Business - Master of Financial Management (MFM) in Mandarin Program in Shanghai	MFM from UAlberta	International branch program	Xi'an Jiao Tong University	China	115	IP

Sources: Faculty of Graduate Studies and Research and University of Alberta International

## Notes:

- Year is calculated starting from the spring term (i.e. 2019/20 includes Spring, Summer, Fall 2019 and Winter 2020)
- International branch campus refers to UAlberta programs being offered abroad in collaboration with a local institution.

IP = In Progress

# CAPITAL PLAN

## Introduction

The University of Alberta’s 2019-20 Capital Plan attempts to establish an environment in which Alberta’s oldest and largest post-secondary institution recalibrates its capital priorities in a way that ensures its current infrastructure inventory remains capable of supporting the best possible learning and research setting. With an emphasis on the well-planned and strategic repurposing and renewal of existing facilities, significant efforts were also expended in reducing reliance on externally leased space and the strategic decommissioning and demolition of functionally obsolete buildings.

The U of A recognizes that it competes in a global market for the best and brightest students, researchers, and faculty and that the supporting infrastructure capable of meeting 21<sup>st</sup> century expectations must remain a part of the U of A’s competitive advantage.

## Capital Projects

Capital investments, both scheduled and aspirational, remain strategically linked to the 2019-22 Comprehensive Institutional Plan (CIP) goals and are aligned with the Government of Alberta’s post-secondary and research system’s goals of accessibility, affordability, quality, coordination, and accountability.

### Top Three

The three highest priority projects identified in the CIP remained aspirational throughout 2019-20 in that the absence of the requisite funding has not allowed for progress to occur.

Faculty of Arts – Expansion and Renewal					
Type	Description	Total Cost	Funding		
			Sources	Received	Revised
Expansion	As an alternative to a new downtown campus development, a multi-year phased renewal and expansion program will address program pressures in several buildings including Fine Arts, Industrial Design, HUB, Tory and the School of Business. Strategic renewal and expansion of existing facilities will ensure undergraduate programming and functional needs are achieved.	\$168.0 million	100% GoA	\$0	\$0

Biological Sciences - Renewal					
Type	Description	Total Cost	Funding		
			Sources	Received	Revised
Preservation	A renewal program for a 40-year-old facility focusing on mechanical and electrical base building infrastructure. As aged infrastructure is starting to fail, the ability to continue teaching and research in this space is at risk. There are significant challenges in upgrading these systems in this building as each wing is cross-linked meaning the renewal is best undertaken for the entire building. As planned, mechanical and electrical systems renewals will also support internal architectural renewals.	\$59.6 million	100% GoA	\$0	\$0

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Chemistry East – Teaching Research Lab Modernization and Renewal					
Type	Description	Total Cost	Funding		
			Sources	Received	Revised
Preservation	These labs are original to the 1973 building and in very poor condition; to the degree that usability is in jeopardy. Continued use of these labs presents risks to the institution (quality of instruction and reputation) and the environment.	\$14.2 million	58% GoA	\$0	\$0
	Renewal and modernization of 14 teaching labs will support teaching and research while also reducing energy consumption, improving environmental sustainability and addressing lab safety with upgraded fume hoods.		42% U of A		

Other Priorities

Recognizing the uniqueness of operating multiple distinct and unique campuses, beyond the top three priorities identified above, numerous other projects were identified in our CIP as priorities. For ease of presentation, these projects have been grouped by campus and, as with the “top three” above, have all undergone significant planning to the point that each is ready to proceed pending the emergence of the requisite funding.

Augustana Campus					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
Expansion	Science (phase 1 and 2 renewal)	\$14.7 million	100% GoA	\$0	\$0

Campus Saint-Jean					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
Expansion	Science (expansion and classroom upgrades)	\$11.2 million	100% GoA	\$0	\$0
Minor Preservation	Campus electrical	\$4.8 million	100% GoA	\$0	\$0

North Campus					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
New	Maskwa House of Learning	\$28 million	100% GoA	\$0	\$0
Expansion	Morrison Structures Engineering Lab	\$16 million	100% GoA	\$0	\$0
Expansion	Earth Sciences (central systems)	\$19 million	100% GoA	\$0	\$0
Expansion	Mechanical Engineering	\$90 million	100% GoA	\$0	\$0
Preservation	Cameron Library (building envelope)	\$24.8 million	100% GoA	\$0	\$0
Preservation	Chemistry West (Level 0, 1, and 2)	\$15.5 million	100% GoA	\$0	\$0
Preservation	Medical Sciences (phase 1 renewal)	\$26 million	100% GoA	\$0	\$0
Preservation	Universiade Pavilion (building envelope)	\$17 million	100% GoA	\$0	\$0
Preservation	Clinical Sciences (building envelope)	\$18 million	83% GoA 17% UAlberta	\$0	\$0
Preservation	Convocation Hall (renewal)	\$9.9 million	80% GoA 20% UAlberta	\$0	\$0

## ANNUAL REPORT 2019-20

North Campus					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
Preservation	Medical Sciences (floor renewal)	\$7.2 million	72% GoA  28% UAlberta	\$0	\$0
Minor Preservation	Asset Reduction Impacts	\$6.0 million	69% GoA  31% UAlberta	\$0	\$0
Minor Preservation	Tory (mechanical)	\$8.0 million	100% GoA	\$0	\$0
Minor Preservation	Heritage Medical Research (ventilation)	\$4.0 million	75% GoA  25% UAlberta	\$0	\$0
Minor Preservation	Animal Research (Heritage Medical Research, Medical Sciences, and Biological Sciences)	\$5.0 million	100% GoA	\$0	\$0
Minor Preservation	All-gender Washroom / Universal Access	\$4.5 million	100% GoA	\$0	\$0
Programming	Asset Reduction (Phase 1)	\$0.7 million	100% GoA	\$0	\$0

South Campus					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
New	High Performance Training and Research Facility and Community Arenas	\$65 million	30% GoC  35% CoE  35% philanthropic	\$0	\$0
New	South Campus (basic infrastructure)	\$15.6 million	100% GoA	\$0	\$0
New	Utilities / District Energy Plant	\$132.2 million	100% GoA	\$0	\$0

Other					
Type	Project	Total Cost	Funding		
			Sources	Received	Revised
Expansion	Enterprise Square Densification	\$10 million	100% GoA	\$0	\$0
Preservation	Ellerslie Site Remediation	\$12.6 million	75% GoA  25% UAlberta	\$0	\$0
Preservation	Heating Plant (turbine generator #3)	\$89.2 million	53% GoA  47% District Energy System	\$0	\$0

2019-20 was a challenging year in that the delay in the release of the provincial budget severely curtailed our ability to advance maintenance projects (e.g. sign contracts) without confirmation of funding levels. Recognizing the U of A already had several multi-year projects in progress and that other critical work simply had to proceed to avoid catastrophic building failures, the institution provided \$20 million in interim funding while awaiting the final amount awarded under the Infrastructure Maintenance Program (IMP) grant (\$34.9 million in 2018/19). The U of A felt it was acting prudently by proceeding with projects within a notional budget decrease of up to 40 percent. However, when Budget 2019 was released in November 2019, the IMP grant was reduced to zero.

As such, plans were executed to limit spending to \$20 million in 2019/20; and the U of A is planning for a return to previous funding levels as detailed in Budget 2020.

Current Projects - Timelines and Status				
Description	Start	Completion	Status	Progress in 2019/20
Campus Utility Building - Electrical (CUBE) – a new core and shell building (unoccupied) will ingrate with EPCOR's three-year plan to bring new power services to South Campus.	November 2016	November 2020	In progress	<ul style="list-style-type: none"> <li>Design completed</li> <li>Construction award completed and building construction substantially completed</li> </ul>
Central Academic Building (mechanical)	November 2018	February 2020	In progress	<ul style="list-style-type: none"> <li>Tenders awarded</li> <li>Demolition and abatement work completed</li> <li>Duct and electrical work substantially completed</li> </ul>
Central Academic (lower level functional renewal)	April 2018	August 2019	Completed	<ul style="list-style-type: none"> <li>Tenders awarded</li> <li>Demolition and abatement work completed</li> <li>Renewal completed</li> </ul>
Chemistry West (south)	May 2019	September 2020	In progress	<ul style="list-style-type: none"> <li>Awarded design-build contract</li> <li>Demolition and abatement work completed</li> <li>Floor leveling, framing, boarding, and electrical has begun</li> </ul>
Dentistry / Pharmacy – building renewal	October 2017	July 2023	In progress	<ul style="list-style-type: none"> <li>Hazmat and selective demolition completed</li> <li>Major demolition completed</li> <li>Excavation and piling underway</li> </ul>
Electrical Vault (Chemistry)	July 2018	October 2020	In progress	<ul style="list-style-type: none"> <li>Phase 1 - Level 0 loading dock addition and shipping/receiving renewal</li> <li>Phase 2 - decant and renewal</li> <li>Phase 3 - emergency power and electrical servicing renewal</li> </ul>
Electrical Vault (Van Vliet)	April 2018	March 2020	In progress	<ul style="list-style-type: none"> <li>Excavation complete allowing for footings and walls</li> <li>Installed secondary transformers</li> <li>Installed all conductors and transformers on secondary side</li> </ul>
Garneau Switchgear Upgrade and North Campus Electrical Feed Expansion	January 2019	December 2022	In progress	<ul style="list-style-type: none"> <li>Contract with EPCOR has been signed</li> <li>EPCOR awaiting regulatory approval to proceed</li> </ul>
Integrated Asset Management Strategy	June 2019	N/A	In progress	<ul style="list-style-type: none"> <li>Served notice to cancel external lease for Campus Towers allowing for densification of Enterprise Square, University Terrace, and the North Power Plant.</li> <li>Decommissioned and demolished Alumni House</li> </ul>
Lister Centre (Mackenzie Tower)	February 2019	August 2020	In progress	<ul style="list-style-type: none"> <li>Awarded construction management contract for Mackenzie Tower</li> <li>Demolition and abatement completed</li> <li>Concrete restoration underway (outer facades)</li> <li>Mechanical and electrical system infrastructure nearing completion</li> <li>Finalized furniture, fittings, and equipment product selections for all three towers</li> </ul>

Description	Start	Completion	Status	Progress in 2019/20
Natural Resources Engineering Facility	May 2017	June 2020	In progress	<ul style="list-style-type: none"> <li>Selective demolition completed allowing for mechanical, electrical, and other work to proceed</li> </ul>
R.E. Phillips Building renewal	February 2019	September 2020	In progress	<ul style="list-style-type: none"> <li>Tender awarded</li> <li>Concrete and steel structure completed</li> </ul>
Van Vliet Centre (functional renewal [change rooms])	June 2018	April 2020	In progress	<ul style="list-style-type: none"> <li>Project completed</li> </ul>
University of Alberta Botanic Garden – Infrastructure	April 2018	August 2020	In progress	<ul style="list-style-type: none"> <li>Entry pavilion design completed and construction initiated</li> <li>Completed expansion of southeast pump house</li> <li>Issued request of proposals to install sanitary infrastructure</li> </ul>

### Priority Projects

Other than the “in progress” projects detailed above, there are no projects commencing in 2020/21 that meet the GoA threshold for reporting here. In fact, once the renewal projects for Dentistry/Pharmacy and Lister are complete, spending on capital projects is projected to fall precipitously.

However, the University of Alberta continues to rely heavily on its BLIMS submission to highlight to the Government of Alberta its infrastructure needs ranging from critical building fixes to renewals to address aged building inventories.

# INFORMATION TECHNOLOGY

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The primary areas where Information Technology (IT) is applied to support the U of A's core mission are:

- Support for teaching and learning: increasing capacity to use digital technologies to enhance learning experiences in-person and for distance education, including support for alternative delivery programs, blended delivery, flipped classrooms and other innovative delivery models.
- Support for research: providing consulting and state-of-the-art systems to support innovative research, including advanced research computing and large-scale data storage.
- Support for access: offering enhanced systems and processes for undergraduate and graduate admissions and student scholarships and awards, including enrolment management system, the monitoring and performance reporting of student progress, and other systems that support and enhance student life.
- Support for efficiency and sustainability: increasing the efficiency of administrative systems that support core institutional activities and enhancing the university experience by facilitating easier ways to get things done.

U of A's Information Technology was recognized this past year with several national awards for innovations in automation, and in cyber security, delivered in 2018/19. In 2019/20, the U of A delivered the following:

- Implemented new capabilities for students:
  - Online applications for graduate student awards, and review and approval of those awards.
  - Online records of professional development activities by graduate students.
  - New cloud-based system for undergraduate applications for admission.
  - New case management system for students in residence, to support their non-academic needs.
  - Developed and deployed a new capability for distributing, administering, and grading exams online.
  - Created a new active learning classroom at Campus St. Jean.
- Supported researchers through:
  - Implementation of a digital research administration workflow, replacing manual signatures and paper forms for grant applications and approvals
  - Regular boot camps to train new faculty members, postdocs, and graduate students in skills needed to apply advanced research computing
- Made numerous improvements in support processes and systems, including:
  - Implemented a new integrated governance committee to handle the overlapping areas of information and information systems.
  - Completed a PCI compliance review of all university payment systems and merchant accounts.
  - Deployed a modern identity and access management system, which will enable further enhancements in institutional cyber security.
  - Converted telephony trunks from previous generation "T" carrier lines to IP-based services.
  - Implemented a number of automation and self-serve capabilities, including chatbots for undergraduate and international students, automated the process of hiring graduate teaching assistants, process automation in paying vendors with whom the university has high numbers of transactions, and automating maintenance of chart of accounts.
  - Electronic documents: migrated the system to the Amazon cloud, implemented records management capability, implemented scanning and automated tagging of records of employment for casual staff, automated classification of forms submitted by applicants, automated adjudication of undergraduate entrance awards.
  - Supported the university's transition to a new Web content management system.
  - Collaborated with the other 25 Alberta post-secondary institutions to define and develop sectoral skills in cyber security.
  - Facilitated the amalgamation of the provincial post-secondary IT organization AAHEIT into ShareIT, and continued to support the development of shared procurement in the post-secondary sector.
  - Collaborated nationally with five other post-secondary institutions to develop the Canadian Shared Security Operations Centre (CanSSOC).
  - Replaced paper forms used to request access to the ERP with digital workflow.
  - Automated the process for allocating new endowment contributions and endowment spending.
  - Implemented changes to tuition processing required by Bill 19.
  - Continued rationalization and standardization of client Windows domain environments to improve overall customer experience and supportability.

# RISK MITIGATION ANALYSIS

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## **Revenue decline mitigation strategies**

The vast majority of the university's operating revenues are controlled by government. To the extent that legislation and government authority permits the university to increase tuition, these levers may be applied.

The risk associated with alternative revenue sources remains high. The university must increase its capacity to generate alternative sources of revenue to offset constraints to grant funding and tuition revenue limitations.

## **Expenditure increase mitigation strategies**

With limited ability to control or increase university revenues, our main mitigation strategies must necessarily focus on expense reduction.

As such, the university exercises caution in adding permanent staff positions. Any compensation changes must be negotiated with bargaining agents. The vast majority of the university's employees are unionized. To manage benefits costs, the university looks to achieve efficiencies with its benefit carriers, and work with the university-union benefit committees to review plan design.

Over the long term the university is looking at opportunities to increase space utilization, and retire buildings where it no longer makes sense to upgrade them.

Overall the university is examining administrative processes seeking cost and quality improvements, recognizing that the priority is to support the academic and research mission of the university.

# APPENDIX A: AUDITED FINANCIAL STATEMENTS

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# **Consolidated Financial Statements**

**For the Year Ended  
March 31, 2020**

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### FINANCIAL SERVICES

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(in millions of dollars)

The consolidated financial statement discussion and analysis should be read in conjunction with the University of Alberta audited financial statements. The university's financial statements have been prepared in accordance with Canadian Public Sector Accounting Standards. For more in-depth discussion and analysis of the university's goals and objectives please refer to the following documents:

For the Public Good, Comprehensive Institutional Plan, Investment Reports.

<https://www.ualberta.ca/reporting>

The consolidated financial statement discussion and analysis provides an overview of the university's:

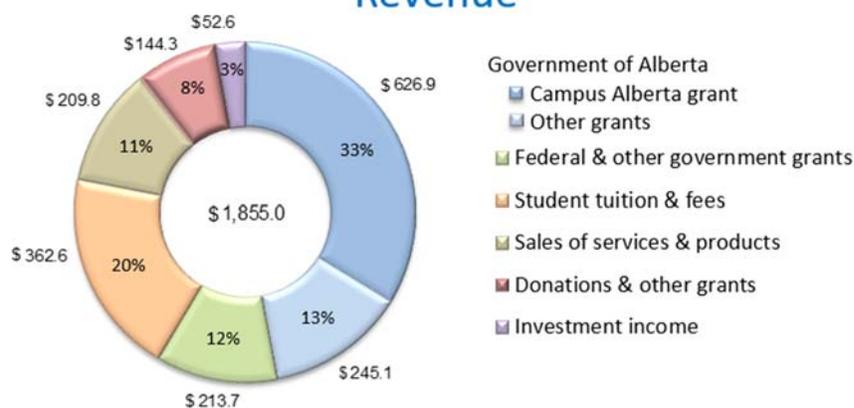
- Summary of Financial Results
- Revenue and Expense
- Capital Acquisitions
- Net Assets and Net Debt
- Areas of Significant Financial Risk

## Summary of Financial Results

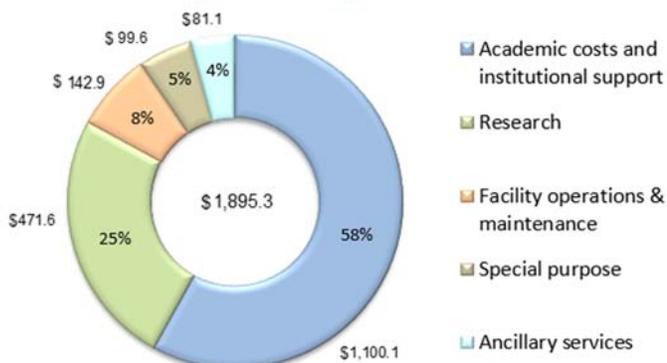
The university ended the year with an annual deficit of \$14.7 million. Of this amount \$25.6 million are donations directed to endowments and endowment capitalized investment income and therefore are not available for spending. The annual operating deficit was \$40.2 million; 2.2% of total revenue (budget annual operating surplus: \$37.7; 1.9% of total revenue). This decrease from the prior year annual operating surplus of \$123.3 was primarily due to a decrease in the Campus Alberta operating grant, lower investment income from realized capital losses and higher pension expense caused by higher plan expenses (current services costs and interest expense).

Net assets of \$1,982.8 million decreased from the prior year (2019: \$2,179.5). The decrease is mainly due to a decrease in the fair value of endowments.

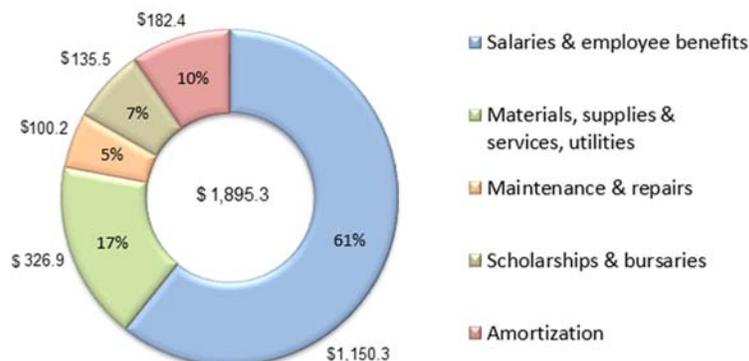
### Revenue



### Expense by Function



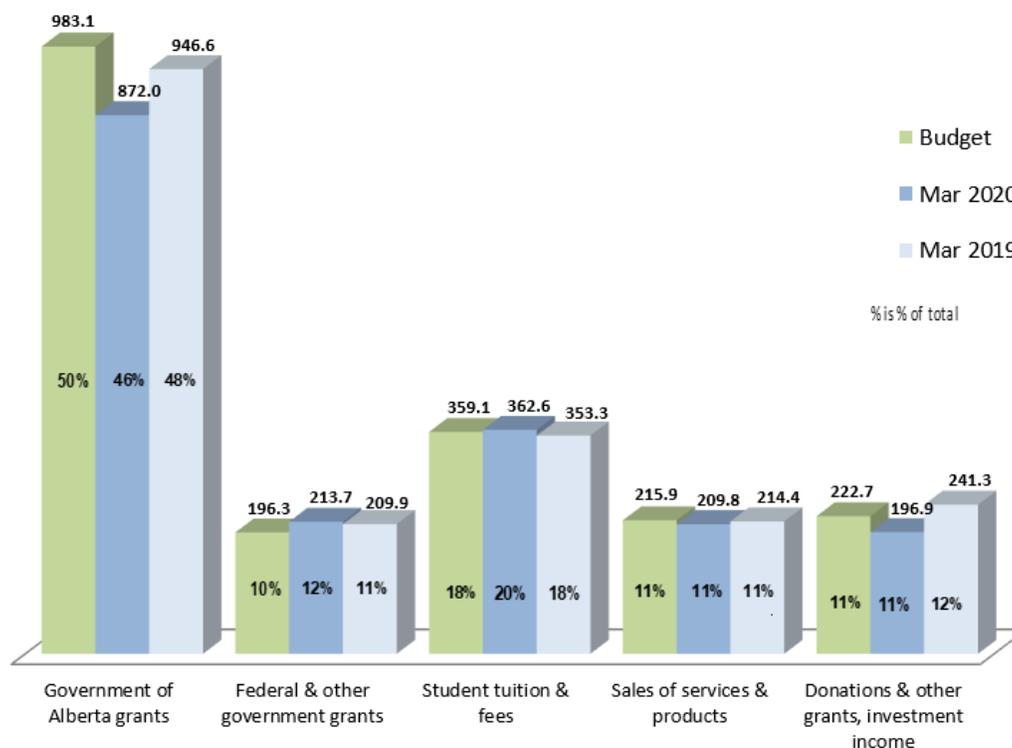
### Expense by Object



(in millions of dollars)

## Revenue

Total revenue for the year was \$1,855.0 million, a decrease of \$110.5 million over the prior year and \$122.1 million (6.2%) less than budget.



### Government of Alberta grants

Government of Alberta grants (GoA) represent the single largest source of funding for university activities at 46% of total revenue. GoA grant revenue of \$872.0 million was \$74.6 million lower than prior year and \$111.1 million lower than budget. The decrease over prior year is primarily due to a 6.9 percent reduction in the Campus Alberta operating grant (\$44.4 million) and a one year cancellation of the Infrastructure Maintenance Program grant (\$34.9 million). These two items are also the primary reasons for the decrease compared to the budget for GoA revenue.

### Federal and other government grants

Federal and other government grants primarily support the university's research activities. Federal and other government grants revenue of \$213.7 million was \$3.8 million higher than prior year and \$17.4 million higher than budget. The increase over prior year and the budget is due to increased research funding from the Government of Canada, including funding for research on COVID-19 of \$5.3 million.

### Student tuition and fees

Student tuition and fees includes instructional fees, market modifiers, program differential fees, international student fees, and mandatory non-instructional fees. Student tuition and other fees revenue of \$362.6 million was \$9.3 million higher than prior year and \$3.5 million higher than budget. The increase over prior year and the budget is mainly due to higher international student enrolment. In the October 2019 provincial budget the GoA announced that the freeze of domestic tuition fees has been lifted and institutions can raise domestic tuition beginning in fiscal year 2021 by up to 7% per year for the next three years.

### Sales of services and products

Sales of services and products revenues are generated by ancillary services and faculties and administrative units to both individuals and external organizations to support university activities. Sales of services and products revenue of \$209.8 million was \$4.6 million lower than prior year and \$6.1 million lower than budget. There was no one individually significant item that has caused the reduction.

### Donations and other grants

Donations and other grants support many university activities. Donations and other grants revenue of \$144.3 million was \$2.3 million less than prior year but was \$6.3 million more than budget. There was no one individually significant item that accounted for these variances.

(in millions of dollars)

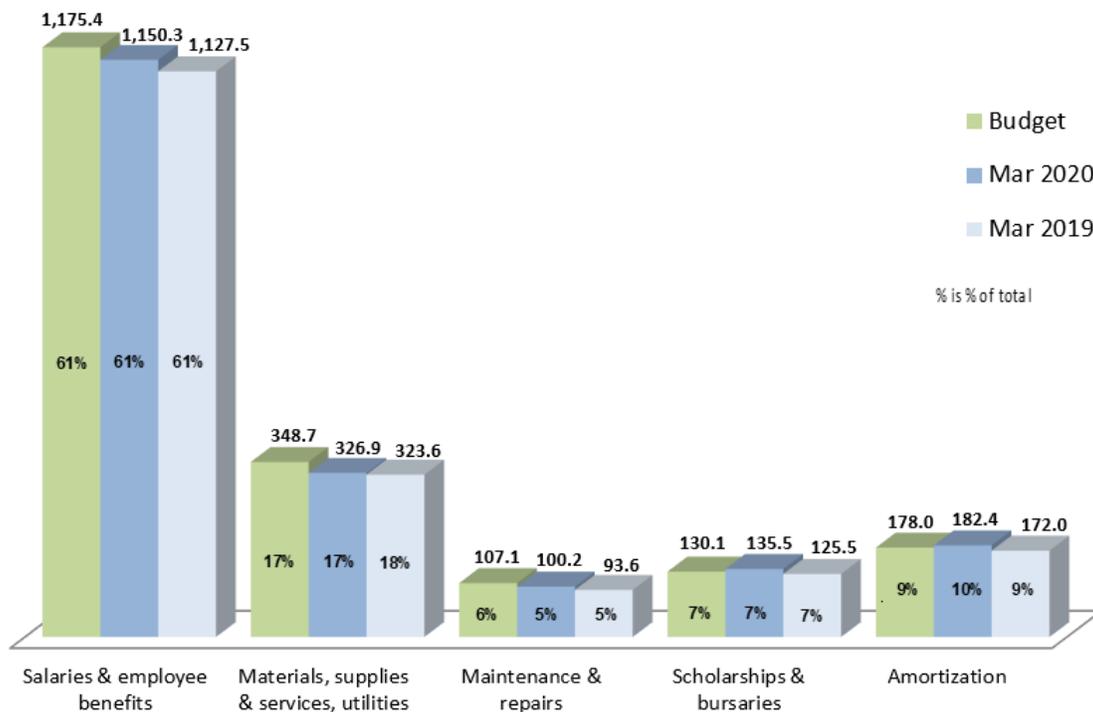
**Investment income**

Investment income supports many university activities. Investment income revenue of \$52.6 million was \$41.9 million lower than prior year and \$32.1 million lower than budget. The decrease over prior year and the unfavorable to budget was due to the realization of a capital loss on the disposal of two oil and gas indexed funds. Investments fall into two categories, the University Endowment Pool (UEP) and the Non-Endowed Investment Pool (NEIP). The UEP had a loss of 10.2% (2019: 5.9% return) and represents the majority of the university’s long-term investment strategy. The NEIP investments which are allocated to short-term, mid-term and long-term investment strategies had a loss of 1.3% (2019: 3.5% return).

**Expense**

Total expense for the year was \$1,895.3 million, an increase of \$53.1 million over the prior year and \$44.1 million (2.3%) less than budget. Salaries and employee benefits are the single largest expense representing 61% of total expense.

**Expense by Object**



**Salaries and employee benefits**

Salaries and employee benefits of \$1,150.3 million was \$22.8 million more than prior year and \$25.1 million less than budget. The increase over prior year is mainly due to higher pension expense caused by higher plan expenses (current services costs and interest expense). The decrease compared to budget is mainly due to lower salary costs across a number of areas.

**Materials, supplies and services and utilities**

Materials, supplies and services, and utilities of \$326.9 million was \$3.3 million more than prior year and \$21.8 million less than budget. Materials, supplies and services, and utilities was comparable to prior year and less than budget due to units restricting their spending due to GoA funding cuts.

**Maintenance and repairs**

Maintenance and repairs of \$100.2 million was \$6.6 million more than prior year and \$6.9 million less than budget. The increase over prior year was due to the recognition of an environmental liability for the remediation of the university’s snow bank facilities. Maintenance and repairs was less than budget due to units restricting their spending due to GoA funding cuts.

**Scholarships and bursaries**

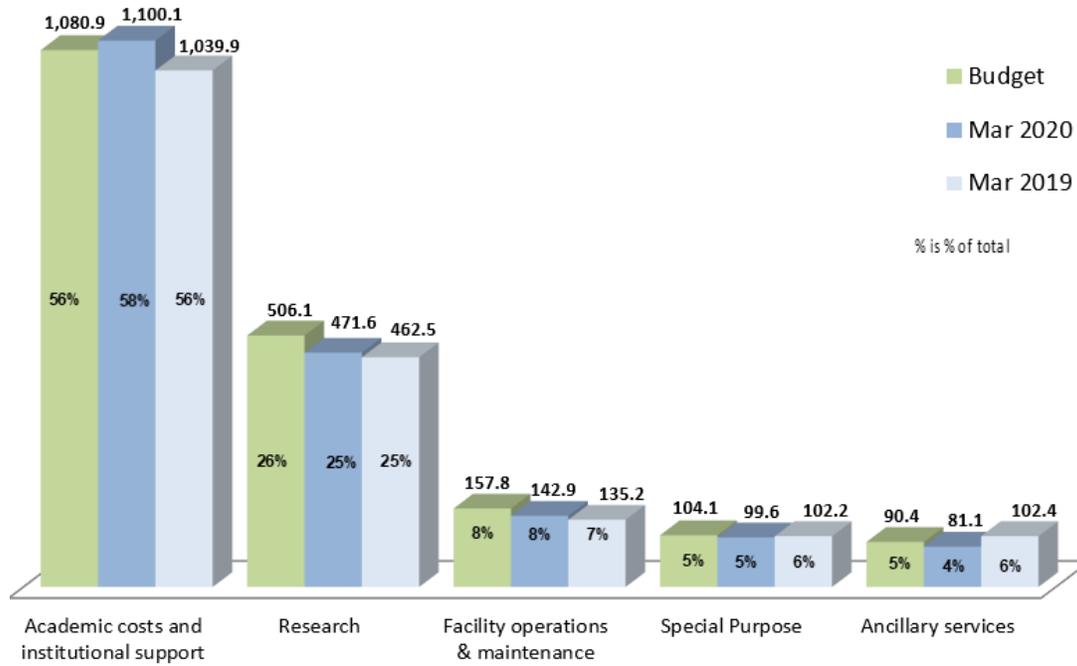
Scholarships and bursaries of \$135.5 million was \$10.0 million more than prior year and \$5.4 million more than budget. The increase over prior year and increase over budget was due to funding from endowments and GoA grants for both undergraduate and graduate awards. This expense aligns with the University’s goal to attract and support undergraduate and graduate students.

(in millions of dollars)

**Amortization**

Amortization of \$182.4 million was \$10.4 million more than prior year and \$4.4 million more than budget. The increase over prior year and the increase over budget was due to an adjustment of the useful life of a number of buildings.

**Expense by Function**



**Academic costs and institutional support**

Academic costs and institutional support expenses effectively represents the operating activities of the university. A significant component of this category is salary and employee benefit costs. Expenses for this category of \$1,100.1 million was \$60.2 million more than prior year and \$19.2 million more than budget. The increase over prior year was mainly due to higher pension expense and higher internally funded scholarships. The increase over budget was mainly due to higher pension expense caused by higher plan expenses (current services costs and interest expense).

**Research**

Research expenses are funded by restricted grants and donations along with internal funds designated for research related activities. Research expenses of \$471.6 was \$9.1 million more than prior year and was \$34.5 million less than budget. The increase over prior year has no one individually significant item. The decrease over budget was mainly due to lower expenditures for salaries on research activities.

**Facility operations and maintenance**

Facility operations and maintenance represents the cost of maintaining university facilities and grounds. Facility operations and maintenance expense of \$142.9 million was \$7.7 million more than prior year and \$14.9 million less than budget. The increase over prior year is due to the recognition of an environmental liability for the remediation of the university’s snow bank facilities. The decrease over budget was mainly due to lower maintenance and repairs caused by the one year cancellation of the GoA Infrastructure Maintenance Program grant.

**Special purpose**

Special purpose expenses are for student awards and bursaries and other programs involving teaching and learning, and community service specifically funded by restricted grants and donations. Special purpose expense of \$99.6 million was \$2.6 less than prior year and \$4.5 million less than budget. No one individually significant item is accountable for these variances.

**Ancillary services**

Ancillary services include the university bookstore, parking services, utilities and student residences. Ancillary services expense of \$81.1 million was \$21.3 million less than prior year and was \$9.3 million less than budget. The decrease over prior year is mainly due to lower maintenance costs for residences and lower input costs for the utilities ancillary. The decrease over budget is attributable to the same reasons.

(in millions of dollars)

## Capital Acquisitions

The university expended \$157.6 million (2019: \$124.6) on construction and other tangible capital asset acquisitions.

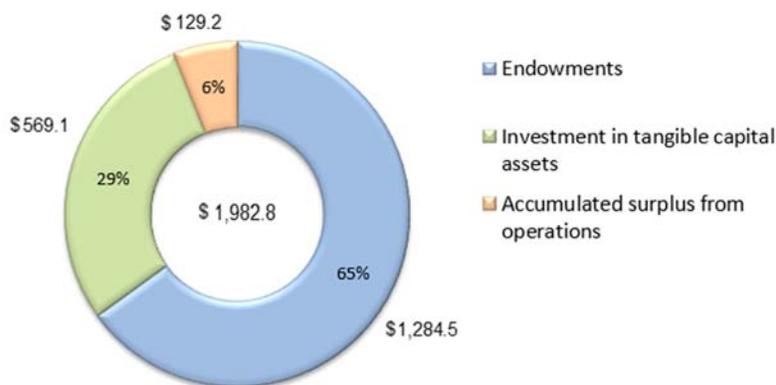
The most significant construction and capital asset acquisitions in 2020 are:

- Lister Centre renewal – a multi-year project to upgrade three residence towers in the Lister Centre complex.
- Dentistry and Pharmacy Renewal and Repurpose - a multi-year project to renovate the Dentistry Pharmacy building.
- Natural Resources Engineering Facility (NREF) Renewal and Renovation project – a multi-year project to repurpose a number of floors of the facility to high tech research laboratory space.

## Net Assets and Net Debt

### Net assets

The net asset balance is an important indicator of financial health for the university. The net assets measure provides the economic position of the university from all years of operations. The university's net assets include endowments of \$1,284.5 million. Endowments represent contributions from donors that are required to be maintained in perpetuity, as well as capitalized investment income that is also required to be maintained in perpetuity to protect the economic value of the endowment. Endowments are not available for spending. Of the remaining \$698.3 million in net assets, \$569.1 million represents funds invested in tangible capital assets.



	Unrestricted	Internally restricted	Investment in tangible capital assets	Endowments	Total
Net assets, beginning of year	\$ 138.3	\$ 55.1	\$ 553.8	\$ 1,432.3	\$ 2,179.5
Annual operating deficit	(40.2)	-	-	-	(40.2)
Endowments contributions and capitalized income	-	-	-	25.5	25.5
Transfer to endowment	(2.3)	-	-	2.3	-
Tangible capital assets	(15.3)	-	15.3	-	-
Transfer from endowments	30.5	-	-	(30.5)	-
Transfer from internally restricted	15.0	(15.0)	-	-	-
Change in accumulated remeasurement gains	(36.9)	-	-	(145.1)	(182.0)
(Decrease) increase	(49.2)	(15.0)	15.3	(147.8)	(196.7)
<b>Net assets, end of year</b>	<b>\$ 89.1</b>	<b>\$ 40.1</b>	<b>\$ 569.1</b>	<b>\$ 1,284.5</b>	<b>\$ 1,982.8</b>

The decrease in accumulated surplus from operations is mainly due to the annual operating deficit (\$40.2) and to a decrease in the fair value of portfolio investments causing a decrease in the unrealized remeasurement gains (\$36.9). The university also transferred \$2.3 million from accumulated surplus to endowments for capitalization of unrestricted income and transferred \$30.5 million from endowments to accumulated surplus for unfunded endowment expenditures.

*(in millions of dollars)*

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The university has an internally restricted investment income reserve (\$40.1). The purpose of the reserve is to create a buffer for risk management purposes; that is, to ensure that future financial obligations can be fulfilled in the event of significant investment losses. The reserve target is 17% of the underlying obligations (investment cost), currently \$87 million, which allows for fluctuations in capital and equity markets to the degree experienced during the financial crisis in 2008-09. Once the reserve target is met, allocations will be made to a Strategic Initiatives Fund that will be used to support long-term institutional goals. This year the university withdrew \$15.0 million from the reserve to replace funding for committed capital initiatives that were impacted by the one year cancellation of the Infrastructure Maintenance Program grant.

The increase in investment in tangible capital assets of \$15.3 million consists of additions (\$87.3) and debt repayments (\$14.5), less new financing (\$20.0) and amortization (\$66.5). These additions include construction projects, equipment, furnishings, computer hardware/software and library resources.

The university's endowment spending policy provides for an annual spending allocation (2020: \$53.0; 2019: \$49.0) to support a variety of key initiatives in the areas of academic programs, chairs and professorships, scholarships, bursaries and research. The decrease in endowments of \$147.8 million is due to a decrease in fair value (\$145.1) and a transfer of endowment principal to unrestricted net assets to cover unfunded endowment expenditures (\$30.5), partially offset by new contributions (\$25.5) and a transfer of miscellaneous sales revenue from unrestricted net assets (\$2.3). During the year the university's investment income earned from endowment investments was not sufficient to fund the annual spending allocation of \$53.0 million along with the investment management and administration fees of \$18.8 million. Total investment income was \$13.8 million leaving an unfunded allocation of \$58.0 million. Of this amount, \$30.5 million was spent by the endowment holders and was funded by a transfer from endowments net assets to unrestricted net assets. The remaining \$27.5 million represents unspent allocation per the University Endowment Pool (UEP) Spending policy and is being managed by the university as a future commitment.

## **Net debt**

The university's liquidity needs are met primarily through operating cash flows, working capital balances and capital expansion funding received through grants or long-term debt. Net financial assets (net debt) is a measure of an organization's ability to use its financial assets to cover liabilities and fund future operations.

The net debt (excluding portfolio investments restricted for endowments) indicates that the university has a \$168.6 million deficiency (2019: \$97.8). The deficiency can be attributed to the acquisition of prepaid expenses \$9.3 (2019 - \$8.1), tangible capital assets acquired by debt financing \$288.5 (2019 - \$283.1), partially offset by the accumulated operating surplus \$129.2 (2019 - \$193.4). Net debt has increased mainly due to the acquisition of tangible capital assets.

## **Areas of Significant Financial Risk**

### **Fiscal Uncertainty**

The Campus Alberta grant is the primary source of funding for the university's day-to-day operating activities. Government support is under pressure given the impacts of COVID-19, the drop in oil prices and the province's fiscal outlook. Grants, tuition and other revenue generation initiatives are largely under government control, which puts significant pressure on university finances. The impact to university revenue of a 1% change to the Campus Alberta base operating grant is \$6.2 million and a 1% change to domestic tuition is \$2.0 million.

The COVID-19 pandemic has had a large impact in how the university conducts its operations. The major operational change was the change to on-line delivery of instructional courses to students. It is anticipated that there will be negative impacts to major revenue streams, especially with regards to enrollment (international students) and fundraising. Staffing levels will be impacted as the university and the Non-Academic Staff Association (NASA) agreed to a Letter of Understanding regarding temporary layoffs on April 15, 2020. The full financial impact to the university has yet to be established and won't be known for a period of time. The liquidity position of the university is strong so there are no immediate cash flow concerns.

### **Unfunded Pension Liability**

The university participates with other Alberta post-secondary institutions in the Universities Academic Pension Plan (UAPP) to provide pensions for the university's participating employees. The unfunded deficiency in the UAPP is currently being funded by a combination of employee and employer contributions and the Government of Alberta. The deficiency is required to be eliminated by 2043. At March 31, 2020, based on actuarial assumptions, the university has recorded a UAPP employee future benefit liability of approximately \$116 million.

The impact to the university's share of the unfunded liability of a 1% increase in the inflation rate assumption would be an increase of approximately \$83 million, a 1% increase in the salary escalation assumption would be an increase of approximately \$17 million, while a decrease of 0.25% in the discount rate assumption would lead to an increase of approximately \$47 million.

*(in millions of dollars)*

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#### Deferred Maintenance

As the largest and oldest post-secondary institution in the province, the university's deferred maintenance obligations continue to increase. As of December 2019, the liability stood at \$309 million and is estimated to increase to approximately \$872 million over the next five years. As part of the fiscal 2020 budget, the government eliminated the Infrastructure Maintenance Program (IMP) grant (\$35 million) which was a main source of funding in dealing with the deferred maintenance issue. This funding was re-established in the fiscal 2021 provincial budget. The university continues to identify and address priority deferred maintenance issues through joint renewal and repurposing projects to maintain the functionality of our building inventory.

**STATEMENT OF MANAGEMENT RESPONSIBILITY  
YEAR ENDED MARCH 31, 2020**

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The consolidated financial statements of the University of Alberta have been prepared by management in accordance with Canadian public sector accounting standards. The consolidated financial statements present fairly the financial position of the university as at March 31, 2020 and the results of its operations, remeasurement gains and losses, changes in net financial assets and cash flows for the year then ended.

In fulfilling its responsibilities and recognizing the limits inherent in all systems, management has developed and maintains a system of internal control designed to provide reasonable assurance that university assets are safeguarded from loss and that the accounting records are a reliable basis for the preparation of the consolidated financial statements.

The Board of Governors is responsible for reviewing and approving the consolidated financial statements, and overseeing management's performance of its financial reporting responsibilities.

The Board of Governors carries out its responsibility for review of the consolidated financial statements principally through its Audit and Risk Committee. With the exception of the President, all members of the Audit and Risk Committee are not employees of the university. The Audit and Risk Committee meets with management and the external auditors and internal auditors to discuss the results of audit examinations and financial reporting matters. The external and internal auditors have full access to the Audit and Risk Committee, with and without the presence of management.

These consolidated financial statements have been reported on by the Auditor General of Alberta, the auditor appointed under the *Post-secondary Learning Act*. The Independent Auditor's Report outlines the scope of the audit and provides the audit opinion on the fairness of presentation of the information in the consolidated financial statements.

*Original signed by David H. Turpin*

\_\_\_\_\_  
President and Vice-Chancellor

*Original signed by Gitta Kulczycki*

\_\_\_\_\_  
Vice-President (Finance & Administration)  
and Chief Financial Officer

# DRAFT

## Independent Auditor's Report

To the Board of Governors of University of Alberta

### Report on the Consolidated Financial Statements

#### Opinion

I have audited the consolidated financial statements of University of Alberta which comprise the consolidated statement of financial position as at March 31, 2020, and the consolidated statements of operations, change in net financial assets, remeasurement gains and losses, and cash flows for the year then ended, and notes to the consolidated financial statements, including a summary of significant accounting policies.

In my opinion, the accompanying consolidated financial statements present fairly, in all material respects, the consolidated financial position of the University of Alberta as at March 31, 2020, and the results of its operations, its remeasurement gains and losses, its changes in net financial assets, and its cash flows for the year then ended in accordance with Canadian public sector accounting standards.

#### Basis for opinion

I conducted my audit in accordance with Canadian generally accepted auditing standards. My responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Consolidated Financial Statements* section of my report. I am independent of the University of Alberta in accordance with the ethical requirements that are relevant to my audit of the consolidated financial statements in Canada, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

#### Other information

Management is responsible for the other information. The other information comprises the information included in the University of Alberta's Annual Report, but does not include the consolidated financial statements and my auditor's report thereon. The University of Alberta's Annual Report is expected to be made available to me after the date of this auditor's report.

My opinion on the consolidated financial statements does not cover the other information and I do not express any form of assurance conclusion thereon.

In connection with my audit of the consolidated financial statements, my responsibility is to read the other information identified above and, in doing so, consider whether the other information is materially inconsistent with the consolidated financial statements or my knowledge obtained in the audit, or otherwise appears to be materially misstated.

If, based on the work I will perform on this other information, I conclude that there is a material misstatement of this other information, I am required to communicate the matter to those charged with governance.

# DRAFT

## **Responsibilities of management and those charged with governance for the consolidated financial statements**

Management is responsible for the preparation and fair presentation of the consolidated financial statements in accordance with Canadian public sector accounting standards, and for such internal control as management determines is necessary to enable the preparation of the consolidated financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the consolidated financial statements, management is responsible for assessing the University of Alberta's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless an intention exists to liquidate or to cease operations, or there is no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the University of Alberta's financial reporting process.

## **Auditor's responsibilities for the audit of the consolidated financial statements**

My objectives are to obtain reasonable assurance about whether the consolidated financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these consolidated financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, I exercise professional judgment and maintain professional skepticism throughout the audit. I also:

- Identify and assess the risks of material misstatement of the consolidated financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University of Alberta's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.

# DRAFT

- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the University of Alberta's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the consolidated financial statements or, if such disclosures are inadequate, to modify my opinion. My conclusions are based on the audit evidence obtained up to the date of my auditor's report. However, future events or conditions may cause the University of Alberta to cease to continue as a going concern.
- Evaluate the overall presentation, structure and content of the consolidated financial statements, including the disclosures, and whether the consolidated financial statements represent the underlying transactions and events in a manner that achieves fair presentation.
- Obtain sufficient appropriate audit evidence regarding the financial information of the entity or business activities within the entity to express an opinion on the consolidated financial statements. I am responsible for the direction, supervision and performance of the audit. I remain solely responsible for my audit opinion.

I communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

W. Doug Wylie FCPA, FCMA, ICD.D  
Auditor General

May 25, 2020  
Edmonton, Alberta

**UNIVERSITY OF ALBERTA**  
**CONSOLIDATED STATEMENT OF FINANCIAL POSITION**  
**AS AT MARCH 31, 2020**  
*(thousands of dollars)*

	Note	2020	2019
<b>Financial assets excluding portfolio investments restricted for endowments</b>			
Cash and cash equivalents	3	\$ 75,343	\$ 19,581
Portfolio investments - non-endowment	4	989,681	1,040,126
Accounts receivable		145,435	145,148
Inventories held for sale		1,994	2,133
		<b>1,212,453</b>	<b>1,206,988</b>
<b>Liabilities</b>			
Accounts payable and accrued liabilities		188,720	172,470
Employee future benefit liabilities	7	219,057	217,774
Debt	8	403,550	335,797
Deferred revenue	9	569,742	578,758
		<b>1,381,069</b>	<b>1,304,799</b>
<b>Net debt excluding portfolio investments restricted for endowments</b>			
		<b>(168,616)</b>	<b>(97,811)</b>
Portfolio investments - restricted for endowments	4	1,284,568	1,432,304
<b>Net financial assets</b>			
		<b>1,115,952</b>	<b>1,334,493</b>
<b>Non-financial assets</b>			
Tangible capital assets	10	2,657,080	2,684,090
Prepaid expenses		9,287	8,118
		<b>2,666,367</b>	<b>2,692,208</b>
<b>Net assets before spent deferred capital contributions</b>			
		<b>3,782,319</b>	<b>4,026,701</b>
Spent deferred capital contributions	11	1,799,471	1,847,187
<b>Net assets</b>			
	12	\$ 1,982,848	\$ 2,179,514
<b>Net assets is comprised of:</b>			
Accumulated surplus		\$ 1,913,944	\$ 1,928,600
Accumulated remeasurement gains		68,904	250,914
		<b>\$ 1,982,848</b>	<b>\$ 2,179,514</b>

Contingent assets and contractual rights (note 13 and 15)

Contingent liabilities and contractual obligations (note 14 and 16)

**UNIVERSITY OF ALBERTA  
CONSOLIDATED STATEMENT OF OPERATIONS  
YEAR ENDED MARCH 31, 2020**

*(thousands of dollars)*

	Note	Budget (Note 18)	2020	2019
<b>Revenue</b>				
Government of Alberta grants	19	\$ 983,086	\$ <b>872,029</b>	\$ 946,643
Federal and other government grants	19	196,265	<b>213,653</b>	209,900
Student tuition and fees		359,053	<b>362,593</b>	353,280
Sales of services and products		215,928	<b>209,786</b>	214,434
Donations and other grants		138,061	<b>144,367</b>	146,752
Investment income		84,682	<b>52,596</b>	94,489
		1,977,075	<b>1,855,024</b>	1,965,498
<b>Expense</b>				
Academic costs and institutional support		1,080,927	<b>1,100,086</b>	1,039,925
Research		506,125	<b>471,604</b>	462,497
Facility operations and maintenance		157,783	<b>142,927</b>	135,198
Special purpose		104,117	<b>99,546</b>	102,207
Ancillary services		90,374	<b>81,107</b>	102,383
		1,939,326	<b>1,895,270</b>	1,842,210
<b>Annual operating (deficit) surplus</b>		\$ 37,749	<b>(40,246)</b>	123,288
Endowment contributions	12		<b>25,506</b>	36,227
Endowment capitalized investment income	12		<b>84</b>	39,236
			<b>25,590</b>	75,463
<b>Annual (deficit) surplus</b>			<b>(14,656)</b>	198,751
<b>Accumulated surplus, beginning of year</b>			<b>1,928,600</b>	1,729,849
<b>Accumulated surplus, end of year</b>	12		\$ <b>1,913,944</b>	\$ 1,928,600

The accompanying notes are an integral part of these consolidated financial statements.

**UNIVERSITY OF ALBERTA**  
**CONSOLIDATED STATEMENT OF CHANGE IN NET FINANCIAL ASSETS**  
**YEAR ENDED MARCH 31, 2020**

*(thousands of dollars)*

	Budget (Note 18)	2020	2019
Annual (deficit) surplus	\$	\$ (14,656)	\$ 198,751
Acquisition of tangible capital assets, net of proceeds on disposals	(188,945)	(157,333)	(124,342)
Amortization of tangible capital assets	177,953	182,376	172,006
Loss on disposal of tangible capital assets	-	1,967	275
Change in prepaid expenses	(170)	(1,169)	(137)
Change in spent deferred capital contributions	(41,051)	(47,716)	(53,054)
Change in accumulated remeasurement gains		(182,010)	(25,058)
<b>(Decrease) increase in net financial assets</b>		<b>(218,541)</b>	168,441
<b>Net financial assets, beginning of year</b>		<b>1,334,493</b>	1,166,052
<b>Net financial assets, end of year</b>	\$	\$ <b>1,115,952</b>	\$ 1,334,493

**UNIVERSITY OF ALBERTA**  
**CONSOLIDATED STATEMENT OF REMEASUREMENT GAINS AND LOSSES**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

	Note	2020	2019
<b>Accumulated remeasurement gains, beginning of year</b>		<b>\$ 250,914</b>	\$ 275,972
Unrealized (losses) gains attributable to:			
Portfolio investments - non-endowment:			
Quoted in an active market		<b>(15,794)</b>	8,778
Designated at fair value		<b>(25,427)</b>	4,143
Portfolio investments - restricted for endowments:			
Quoted in an active market		<b>(38,002)</b>	42,822
Designated at fair value		<b>(123,096)</b>	8,676
Amounts reclassified to consolidated statement of operations:			
Portfolio investments - non-endowment:			
Quoted in an active market		<b>683</b>	(10,803)
Designated at fair value		<b>3,659</b>	(3,601)
Portfolio investments - restricted for endowments:			
Quoted in an active market		<b>3,767</b>	(62,425)
Designated at fair value		<b>12,200</b>	(12,648)
Net change for the year		<b>(182,010)</b>	(25,058)
<b>Accumulated remeasurement gains, end of year</b>	12	<b>\$ 68,904</b>	\$ 250,914
<b>Accumulated remeasurement gains is comprised of:</b>			
Portfolio investments - non-endowment		<b>\$ 5,001</b>	\$ 41,880
Portfolio investments - restricted for endowments		<b>63,903</b>	209,034
		<b>\$ 68,904</b>	\$ 250,914

**UNIVERSITY OF ALBERTA**  
**CONSOLIDATED STATEMENT OF CASH FLOWS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

	2020	2019
<b>Operating transactions</b>		
Annual (deficit) surplus	\$ (14,656)	\$ 198,751
Add (deduct) non-cash items:		
Amortization of tangible capital assets	182,376	172,006
Expended capital recognized as revenue	(115,828)	(111,570)
Loss (gain) on sale of portfolio investments	20,309	(89,477)
Loss on disposal of tangible capital assets	1,967	275
Increase (decrease) in employee future benefit liabilities	1,283	(20,000)
Change in non-cash items	90,107	(48,766)
(Increase) decrease in accounts receivable	(341)	8,083
Decrease in inventories held for sale	139	207
Increase (decrease) in accounts payable and accrued liabilities	17,177	(7,954)
(Decrease) increase in deferred revenue	(9,016)	30,742
Increase in prepaid expenses	(1,169)	(137)
<b>Cash provided by operating transactions</b>	<b>82,241</b>	<b>180,926</b>
<b>Capital transactions</b>		
Acquisition of tangible capital assets, net of proceeds on disposals, less in kind donations	(149,855)	(120,669)
<b>Cash applied to capital transactions</b>	<b>(149,855)</b>	<b>(120,669)</b>
<b>Investing transactions</b>		
Purchases of portfolio investments	(403,015)	(362,768)
Proceeds on sale of portfolio investments	398,004	207,680
<b>Cash applied to investing transactions</b>	<b>(5,011)</b>	<b>(155,088)</b>
<b>Financing transactions</b>		
Debt repayment	(15,747)	(14,509)
Debt - new financing	83,500	-
Increase in spent deferred capital contributions, less in kind donations	60,634	54,843
<b>Cash provided by financing transactions</b>	<b>128,387</b>	<b>40,334</b>
<b>Increase (decrease) in cash and cash equivalents</b>	<b>55,762</b>	<b>(54,497)</b>
<b>Cash and cash equivalents, beginning of year</b>	<b>19,581</b>	<b>74,078</b>
<b>Cash and cash equivalents, end of year</b>	<b>\$ 75,343</b>	<b>\$ 19,581</b>

**UNIVERSITY OF ALBERTA**  
**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

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**1. Authority and purpose**

The Governors of The University of Alberta is a corporation that manages and operates the University of Alberta (the university) under the *Post-secondary Learning Act* (Alberta). All members of the Board of Governors are appointed by either the Lieutenant Governor in Council or the Minister of Advanced Education, with the exception of the Chancellor and President, who are ex officio members. Under the *Post-secondary Learning Act*, Campus Alberta Sector Regulation, the university is a comprehensive academic and research institution offering undergraduate and graduate degree programs as well as a full range of continuing education programs and activities. The university is a registered charity, and under section 149 of the *Income Tax Act* (Canada), is exempt from the payment of income tax.

**2. Summary of significant accounting policies and reporting practices**

**(a) General – Canadian public sector accounting standards (PSAS) and use of estimates**

These consolidated financial statements have been prepared in accordance with PSAS. The measurement of certain assets and liabilities is contingent upon future events; therefore, the preparation of these consolidated financial statements requires the use of estimates, which may vary from actual results. Management uses judgment to determine such estimates. Employee future benefit liabilities and amortization of tangible capital assets are the most significant items based on estimates. In management's opinion, the resulting estimates are within reasonable limits of materiality and are in accordance with the significant accounting policies summarized below. These significant accounting policies are presented to assist the reader in evaluating these consolidated financial statements and, together with the following notes, should be considered an integral part of the consolidated financial statements.

**(b) Valuation of financial assets and liabilities**

The university's financial assets and liabilities are generally measured as follows:

- Cash and cash equivalents, Accounts payable and accrued liabilities - cost
- Portfolio investments - fair value and amortized cost
- Accounts receivable - lower of cost and net recoverable value
- Inventories held for sale - lower of cost and expected net realizable value
- Debt - amortized cost
- Derivatives - fair value

Unrealized gains and losses from changes in the fair value of financial assets and liabilities are recognized in the consolidated statement of remeasurement gains and losses. When the restricted nature of a financial instrument and any related changes in fair value create a liability, unrealized gains and losses are recognized as deferred revenue.

All financial assets are assessed annually for impairment. Impairment losses are recognized as a decrease in revenue, except for the restricted amount which is recognized as a decrease in deferred revenue. A write-down of an investment to reflect a loss in value is not reversed for a subsequent increase in value.

For financial assets and liabilities measured at amortized cost, the effective interest rate method is used to determine interest revenue or expense. Transaction costs are a component of cost for financial assets and liabilities that are measured at amortized cost and expensed when measured at fair value. Investment management fees are expensed as incurred. The purchase and sale of cash and cash equivalents and portfolio investments are accounted for using trade-date accounting.

Derivatives are recorded at fair value in the consolidated statement of financial position. Derivatives with a positive or negative fair value are recognized as financial assets or liabilities. Unrealized gains and losses from changes in the fair value of derivatives are recognized in the consolidated statement of remeasurement gains and losses. Upon settlement, the realized gains and losses are reclassified as revenue or expense in the consolidated statement of operations.

Management evaluates contractual obligations for the existence of embedded derivatives and elects to either measure the entire contract at fair value or separately measure the value of the derivative component when characteristics of the derivative are not closely related to the economic characteristics and risks of the contract itself. Contracts to buy or sell non-financial items for the university's normal course of business are not recognized as financial assets or liabilities.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

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**2. Summary of significant accounting policies and reporting practices (continued)**

**(c) Revenue recognition**

All revenue is reported on an accrual basis. Cash received for which services and products have not been provided is recognized as deferred revenue.

**Government grants, non-government grants and donations**

Government transfers are referred to as government grants.

Restricted grants and donations are recognized as deferred revenue if the terms for use, or the terms along with the university's actions and communications as to the use, create a liability. These grants and donations are recognized as revenue when the terms are met. If the grants and donations are used to acquire or construct tangible capital assets, revenue will be recognized over the useful life of the tangible capital assets.

Government grants without terms for the use of the grant are recognized as revenue when the university is eligible to receive the funds. Non-government grants and donations with no restrictions are recognized as revenue in the year received or in the year the funds are committed to the university if the amount can be reasonably estimated and collection is reasonably assured.

In kind donations of services, materials, and tangible capital assets are recognized at fair value when a fair value can be reasonably determined.

**Grants and donations related to land**

Grants and donations for the purchase of land are recognized as deferred revenue when received and recognized as revenue when the land is purchased. An in kind grant or donation of land is recognized as revenue at the fair value of the land when a fair value can be reasonably determined. When the fair value cannot be reasonably determined, the in kind grant or donation is recognized at nominal value.

**Endowment donations**

Endowment donations are recognized as revenue in the consolidated statement of operations in the year in which they are received, and are required by donors to be maintained intact in perpetuity.

**Investment income**

Investment income includes dividends, interest income and realized gains and losses on the sale of portfolio investments. Investment income from restricted grants and donations is recognized as deferred revenue when the terms for use create a liability, and is recognized as revenue when the terms of the grant or donation are met.

The endowment spending allocation portion of investment income earned by endowments is recognized as deferred revenue when the terms for use by the endowment create a liability. Investment income earned by endowments in excess of the endowment spending allocation is recognized as revenue in the consolidated statement of operations (realized income) and the consolidated statement of remeasurement gains and losses (unrealized gains and losses), and is capitalized and maintained intact in perpetuity.

**(d) Endowments**

Endowments consist of:

- Externally restricted donations received by the university and internal allocations by the university's Board of Governors, the principal of which is required to be maintained intact in perpetuity.
- Investment income earned (excluding unrealized income) by the endowments in excess of the amount required for spending allocation is capitalized to maintain and grow the real value of the endowments. Benefactors as well as university policy stipulate that the economic value of the endowments must be protected by limiting the amount of income that may be expended and by reinvesting unexpended income.

Under the *Post-secondary Learning Act*, the university has the authority to alter the terms and conditions of endowments to enable:

- Investment income earned by the endowments to be withheld from distribution to avoid fluctuations in the amounts distributed, generally to regulate the distribution of income earned by the endowments.
- Encroachment on the capital of the endowments to avoid fluctuations in the amounts distributed and generally to regulate the distribution of investment income earned by the endowments if, in the opinion of the Board of Governors, the encroachment benefits the university and does not impair the long-term value of the fund.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

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**2. Summary of significant accounting policies and reporting practices (continued)**

**(d) Endowments (continued)**

In any year, if the investment income earned on endowments is insufficient to fund the spending allocation, the spending allocation is funded from the accumulated capitalized investment income. However, for individual endowments without sufficient accumulated capitalized investment income, endowment principal is used in that year and is expected to be recovered by future investment income.

**(e) Inventories held for sale**

Inventories held for sale are measured using the weighted average method.

**(f) Tangible capital assets**

Tangible capital asset acquisitions are recognized at cost, which includes amounts that are directly related, such as design, construction, development, improvement or betterment of the assets, and costs associated with asset retirement obligations. Cost includes overhead directly attributable to construction and development. Construction in progress is not amortized until after the project is complete and the asset is in service.

The cost less residual value of the tangible capital assets, excluding land, is amortized on a straight-line basis over the estimated useful lives as follows:

Buildings and utilities	10 - 40 years
Equipment, furnishings and systems	5 - 10 years
Learning resources	10 years

Tangible capital asset write-downs are recognized when conditions indicate the asset no longer contributes to the university's ability to provide services, or when the value of future economic benefits associated with the tangible capital assets is less than their net book value. Net write-downs are recognized as expense.

Intangible assets, works of art, historical treasures and collections are expensed when acquired and not recognized as tangible capital assets because a reasonable estimate of the future benefits associated with such property cannot be made.

**(g) Asset Retirement Obligations**

Asset retirement obligations are recognized for statutory, contractual or legal obligations associated with the retirement of tangible capital assets when those obligations result from the acquisition, construction, development or normal operation of the assets. The obligations are measured initially at fair value, determined using present value methodology, and the resulting costs are capitalized into the carrying amount of the related asset. In subsequent periods, the liability is adjusted for the accretion of discount and any changes in the amount or timing of the underlying future cash flows. The capitalized asset retirement obligations are amortized on the same basis as the related asset and the discount accretion is included in determining the results of operations.

**(h) Foreign currency translation**

Transaction amounts denominated in foreign currencies are translated into their Canadian dollar equivalents at exchange rates prevailing at the transaction dates. Carrying values of monetary assets and liabilities and non-monetary items included in the fair value category reflect the exchange rates at the consolidated statement of financial position date. Unrealized foreign exchange gains and losses are recognized in the consolidated statement of remeasurement gains and losses.

In the period of settlement, foreign exchange gains and losses are reclassified to the consolidated statement of operations, and the cumulative amount of remeasurement gains and losses is reversed in the consolidated statement of remeasurement gains and losses.

## NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS YEAR ENDED MARCH 31, 2020

(thousands of dollars)

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### 2. Summary of significant accounting policies and reporting practices (continued)

#### (i) Employee future benefits

##### **Pension**

The university participates with other employers in the Public Service Pension Plan (PSPP) and the Universities Academic Pension Plan (UAPP). These pension plans are multi-employer defined benefit pension plans that provide pensions for the university's participating employees based on years of service and earnings.

Pension expense for the UAPP is actuarially determined using the projected benefit method prorated on service. The UAPP activity and financial position are allocated to each participating employer based on their respective percentage of employer contributions. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

The university does not have sufficient plan information on the PSPP to follow the standards for defined benefit accounting, and therefore follows the standards for defined contribution accounting. Accordingly, pension expense recognized for the PSPP is comprised of employer contributions to the plan that are required for its employees during the year, which are calculated based on actuarially pre-determined amounts that are expected, along with investment income, to provide the plan's future benefits.

##### **Long-term disability**

The cost of providing non-vesting and non-accumulating employee future benefits for compensated absences under the university's long-term disability plan is charged to expense in full when the event occurs which obligates the university to provide the benefits. The cost of this benefit is actuarially determined using the accumulated benefit method, a discount rate based on the university's cost of borrowing and management's best estimate of the retirement ages of employees, expected health care costs and the period of employee disability. Actuarial gains and losses on the accrued benefit obligation are amortized over the average expected period the benefit will be paid.

##### **Early retirement**

The cost of providing accumulating post-employment benefits under the university's early retirement plans is charged to expense over the period of service provided by the employee. The cost of these benefits is actuarially determined using the projected benefit method prorated on services, a discount rate based on the university's cost of borrowing and management's best estimate of expected health care, dental care, life insurance costs and the period of benefit coverage. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

##### **Supplementary retirement plans**

The university provides non-contributory defined benefit supplementary retirement benefits to the executive staff based on years of service and earnings. The expense for this plan is actuarially determined using the projected benefit method prorated on service. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

The university provides non-contributory defined contribution supplementary retirement benefits to eligible executive, academic, and management and professional staff based on years of service and earnings. The expense for these plans is the employer's current year contribution to the plan as calculated in accordance with the plan rules.

##### **Administrative/professional leave**

The university provides for the executive staff to accrue a paid leave of absence at the end of their executive appointment. The expense for this plan is actuarially determined using the projected benefit method prorated on service. Actuarial gains and losses on the accrued benefit obligation are amortized over the expected average remaining service life of the related employee group.

##### **General illness**

The cost of providing non-vesting and non-accumulating compensated absences to a maximum of 26 weeks (academic staff) or 120 days (support staff) under the university's general illness plan is charged to expense in full when the event occurs which obligates the university to provide the benefit. The cost of this benefit is actuarially determined using the accumulated benefit method and management's best estimate of the period of employee disability.

## NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS YEAR ENDED MARCH 31, 2020

(thousands of dollars)

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### 2. Summary of significant accounting policies and reporting practices (continued)

#### (j) Investment in government partnerships

Proportionate consolidation is used to recognize the university's share of the following government partnerships:

- Northern Alberta Clinical Trials and Research Centre (50% interest) - a joint venture with Alberta Health Services to support the shared missions of Alberta Health Services and the university for collaborative clinical research.
- TEC Edmonton (50% interest) - a joint venture with Edmonton Economic Development Corporation to stimulate entrepreneurialism, advance corporate development and accelerate commercialization of new ideas and technologies that benefit society.
- Tri-University Meson Facility (TRIUMF) (7.14% interest) - a joint venture with thirteen other universities to operate a sub-atomic physics research facility.
- Western Canadian Universities Marine Sciences Society (20% interest) - provides research infrastructure in the marine sciences for member universities and the world-wide scientific community.

These government partnerships are not material to the university's consolidated financial statements; therefore, separate condensed financial information is not presented.

#### (k) Investment in government business enterprises

Effective March 11, 2015, the university established a wholly owned government business enterprise, University of Alberta Properties Trust Inc. Government business enterprises are included in the consolidated financial statements using the modified equity method. Since inception, this entity has no transactions.

#### (l) Liability for contaminated sites

Contaminated sites are a result of contamination of a chemical, organic or radioactive material or live organism that exceeds an environmental standard, being introduced into soil, water or sediment. Contaminated sites occur when an environmental standard exists and contamination exceeds the environmental standard.

A liability for remediation of contaminated sites from an operation in productive use is recognized net of any expected recoveries when all of the following criteria are met:

- the university has a duty or responsibility to others, leaving little or no discretion to avoid the obligation;
- the duty or responsibility to others entails settlement by future transfer or use of assets, or a provision of services at a specified or determinable date, or on demand; and
- the transaction or events obligating the institution have already occurred.

A liability for remediation of contaminated sites from an operation no longer in productive use, and/or an unexpected event occurs resulting in contamination, is recognized net of any expected recoveries when all of the following criteria are met:

- the university is directly responsible or accepts responsibility;
- it is expected that future economic benefits will be given up; and
- a reasonable estimate of the amount can be made.

#### (m) Expense by function

The university uses the following categories of functions on its consolidated statement of operations:

##### **Academic costs and institutional support**

Expenses relating to support for the academic functions of the university both directly and indirectly. This function includes expenses incurred by faculties for their scholarly activities and learning administrative services.

##### **Research**

Expenses for research activities funded by externally sponsored research funds intended for specific research purposes as well as internal funds designated for research related spending. Other expenses associated with this function include costs such as research administration and research related amortization.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**

*(thousands of dollars)*

**2. Summary of significant accounting policies and reporting practices (continued)**

**(m) Expense by function (continued)**

**Facility operations and maintenance**

Expenses relating to maintenance and renewal of facilities that house the teaching, research and administrative activities within the university. These include utilities, facilities administration, building maintenance, custodial services, landscaping and grounds keeping, as well as major repairs and renovations.

**Special purpose**

Expenses for student awards and bursaries and other programs involving teaching and learning, and community service specifically funded by restricted grants and donations.

**Ancillary services**

Expenses relating to services and products provided to the university community and to external individuals and organizations. Services include the university bookstore, parking services, utilities and student residences.

**(n) Funds and reserves**

Certain amounts, as approved by the Board of Governors, are set aside in accumulated surplus for future operating and capital purposes. Transfers to/from funds and reserves are an adjustment to the respective fund when approved.

**(o) Future accounting changes**

In August 2018, the Public Sector Accounting Board issued PS 3280 Asset retirement obligations. This accounting standard is effective for fiscal years starting on or after April 1, 2021. Asset retirement obligations provides guidance on how to account for and report a liability for retirement of a tangible capital asset.

In November 2018, the Public Sector Accounting Board issued PS 3400 Revenue. This accounting standard is effective for fiscal years starting on or after April 1, 2022. Revenue provides guidance on how to account for and report on revenue, specifically addressing revenue arising from exchange transactions and unilateral transactions.

Management is currently assessing the impact of these new standards on the consolidated financial statements.

**3. Cash and cash equivalents**

	2020	2019
Cash	\$ 15,369	\$ 1,104
Money market funds	59,974	18,477
	<b>\$ 75,343</b>	<b>\$ 19,581</b>

Money market funds also include short-term notes and treasury bills with a maturity less than three months from the date of acquisition.

**4. Portfolio investments**

	2020	2019
Portfolio investments - non-endowment	\$ 989,681	\$ 1,040,126
Portfolio investments - restricted for endowments	1,284,568	1,432,304
	<b>\$ 2,274,249</b>	<b>\$ 2,472,430</b>

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

**4. Portfolio investments (continued)**

The composition of portfolio investments measured at fair value is as follows:

	2020				2019			
	Level 1 <sup>(1)</sup>	Level 2 <sup>(2)</sup>	Level 3 <sup>(3)</sup>	Total	Level 1 <sup>(1)</sup>	Level 2 <sup>(2)</sup>	Level 3 <sup>(3)</sup>	Total
Cash and money market funds	\$ 81,686	\$ 469,590	\$ -	\$ 551,276	\$ 132,503	\$ 423,971	\$ -	\$ 556,474
Canadian government and corporate bonds	-	120,910	-	120,910	-	259,280	-	259,280
Foreign government and corporate bonds	-	253,630	-	253,630	-	206,940	-	206,940
Canadian equity	204,758	-	-	204,758	289,543	-	-	289,543
Foreign equity	776,892	-	-	776,892	962,214	-	-	962,214
Private equity	-	-	92,085	92,085	-	-	78,415	78,415
Hedge funds	-	179,703	-	179,703	-	30,137	-	30,137
Private credit	-	-	9,190	9,190	-	-	657	657
Real estate funds	-	-	84,772	84,772	-	-	87,731	87,731
	<b>1,063,336</b>	<b>1,023,833</b>	<b>186,047</b>	<b>2,273,216</b>	<b>1,384,260</b>	<b>920,328</b>	<b>166,803</b>	<b>2,471,391</b>
Other at amortized cost				1,033				1,039
	<b>\$ 1,063,336</b>	<b>\$ 1,023,833</b>	<b>\$ 186,047</b>	<b>\$ 2,274,249</b>	<b>\$ 1,384,260</b>	<b>\$ 920,328</b>	<b>\$ 166,803</b>	<b>\$ 2,472,430</b>

The fair value measurements are those derived from:

- <sup>(1)</sup> Quoted prices in active markets for identical assets.
- <sup>(2)</sup> Inputs other than quoted prices included within level 1 that are observable for the assets, either directly (i.e. as prices) or indirectly (i.e. derived from prices).
- <sup>(3)</sup> Valuation techniques that include inputs for the assets that are not based on observable market data.

As at March 31, 2020, the average effective yields and the terms to maturity are as follows:

- Money market funds: 1.59% (2019 - 2.18%); term to maturity: less than one year.
- Canadian government, corporate and foreign bonds: 2.72% (2019 - 2.54%); terms to maturity: range from less than one year to more than 10 years.

The changes in fair value of level 3 portfolio investments are as follows:

	2020	2019
<b>Balance, beginning of year</b>	<b>\$ 166,803</b>	<b>\$ 141,323</b>
Unrealized (losses) gains	(14,008)	9,439
Purchases	52,250	40,696
Proceeds on sale	(18,998)	(24,655)
	<b>\$ 186,047</b>	<b>\$ 166,803</b>

The economic uncertainty resulting from COVID-19 has impacted the availability of reliable market metrics for certain level 3 portfolio investments. Due to this uncertainty of the economic environment as a result of COVID-19, fair value estimates could be subject to changes and such changes could be material.

**5. Derivatives**

Derivative financial instruments are used by the university to manage its commodity exposure with respect to portfolio investments. As at March 31, 2020, the university did not hold any commodity futures contracts (2019 - 5 contracts with a notional amount of \$35,522). The fair value of outstanding commodity futures contracts receivable is \$nil (2019 - \$54) and of commodity futures contracts payable is \$nil (2019 - \$927). The fair value measurement of derivative financial instruments is categorized into level 1 as described in note 4.

## NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS YEAR ENDED MARCH 31, 2020

(thousands of dollars)

### 6. Financial risk management

The university is exposed to the following risks:

#### Market price risk

Market price risk is the risk that the value of a financial instrument will fluctuate as a result of changes in market prices, whether those changes are caused by factors specific to the individual security, its issuer or general market factors affecting all securities. To manage this risk, the university has policies and procedures in place governing asset mix, diversification, exposure limits, credit quality and performance measurement. The university's Investment Committee, a subcommittee of the Board of Governors, has the delegated authority for oversight of the university's portfolio investments. The university's management of this risk has not changed from prior year.

The university assesses its portfolio sensitivity to a percentage increase or decrease in the market prices. The sensitivity rate is determined using the historical annualized standard deviation for the total University Endowment Pool over a five year period as determined by the university's investment performance measurement service provider. At March 31, 2020, if market prices had a 8.4% (2019 - 6.9%) increase or decrease, with all other variables held constant, the increase or decrease in accumulated remeasurement gains for the year would be \$127,531 (2019 - \$116,302). The economic uncertainty surrounding COVID-19 has caused some volatility in the equity markets, fluctuations in the fair value of investments may be experienced as the situation evolves.

#### Foreign currency risk

Foreign currency risk is the risk that the fair value of future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The university is exposed to foreign exchange risk on portfolio investments that are denominated in foreign currencies. The university does not hedge its foreign currency exposure with currency forward contracts or any other type of derivative financial instruments.

The impact of a change in value of the Canadian dollar against foreign currencies is as follows:

Currency	Fair Value	2.5% decrease	1.0% decrease	1.0% increase	2.5% increase
US dollar	\$ 1,359,907	\$ (33,998)	\$ (13,599)	\$ 13,599	\$ 33,998

#### Credit risk

Counterparty credit risk is the risk of loss arising from the failure of a counterparty, debtor or issuer to fully honor its financial obligations with the university. The university is exposed to credit risk on investments and has established an investment policy with required minimum credit quality standards and issuer limits to manage this risk. The university's exposure, based on the risk rating of our money market funds and bonds, has not changed significantly year over year.

The credit risk from accounts receivable is low as the majority of balances are due from government agencies and corporate sponsors with small amounts due from students and various vendors. Management has established a provision for receivables and assesses it annually to address any new concerns that may arise. Given the nature of the university's accounts receivable balances, management has assessed that, based on current economic outlook and the potential impact of COVID-19, the change to our expected credit losses is not considered material.

The distribution of money market funds and bonds by risk rating is as follows:

- Money market funds: R-1(high) 72.9% (2019 - 75.3%); R-1(mid) 27.1% (2019 - 24.7%).
- Bonds: AAA 54.3% (2019 - 63.1%); AA 5.2% (2019 - 10.0%); A 10.3% (2019 - 7.3%); BBB 19.9% (2019 - 11.7%); below BBB and not rated 10.3% (2019 - 7.9%).

#### Liquidity risk

Liquidity risk is the risk that the university will encounter difficulty in meeting obligations associated with its financial liabilities. The university maintains a portfolio of short-term investments with rolling maturity dates to manage short-term cash requirements. The university maintains a short-term line of credit of \$20,000 to ensure that funds are available to meet current and forecasted financial requirements. In 2020, the line of credit was not drawn upon (2019 - not drawn upon). The university believes, based on its assessment of future cash flows that incorporate the effects of COVID-19, it will have access to sufficient capital through internally generated cash flows, external sources and the undrawn short-term line of credit to meet current spending forecasts.

## NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS YEAR ENDED MARCH 31, 2020

(thousands of dollars)

### 6. Financial risk management (continued)

#### Interest rate risk

Interest rate risk is the risk that the university's earnings will be affected by the fluctuation and degree of volatility in interest rates. This risk is managed by investment policies that limit the term to maturity of certain fixed income instruments that the university holds. If interest rates increase by 0.25%, and all variables are held constant, the potential loss in fair value to the university would be approximately \$5,420 (2019 - \$4,692). Interest rate risk on the university's debt is managed through fixed rate agreements with Alberta Capital Finance Authority note 8.

The maturity and effective market yield of interest bearing investments are as follows:

	< 1 year	1 - 5 years	> 5 years	Average effective market yield
	%	%	%	%
Money market funds	100.0	-	-	1.6
Canadian government, corporate and foreign bonds	4.3	42.0	53.7	2.7

### 7. Employee future benefit liabilities

	2020			2019		
	Academic staff	Support staff	Total	Academic staff	Support staff	Total
Universities Academic Pension Plan	\$ 115,671	\$ -	\$ 115,671	\$ 116,439	\$ -	\$ 116,439
Long-term disability	10,708	27,203	37,911	9,546	25,855	35,401
Early retirement	-	26,728	26,728	-	26,748	26,748
SRP (defined contribution)	29,688	-	29,688	27,301	-	27,301
SRP (defined benefit)	6,328	-	6,328	8,543	-	8,543
Administrative/professional leave	1,194	-	1,194	1,396	-	1,396
General illness	716	821	1,537	863	1,083	1,946
	\$ 164,305	\$ 54,752	\$ 219,057	\$ 164,088	\$ 53,686	\$ 217,774

#### (a) Defined benefit plans accounted for on a defined benefit basis

##### Universities Academic Pension Plan (UAPP)

The UAPP is a multi-employer contributory joint defined benefit pension plan for academic staff members. An actuarial valuation of the UAPP was carried out as at December 31, 2018 and was then extrapolated to March 31, 2020, resulting in a UAPP deficit of \$1,276,244 (2019 - \$996,451) consisting of a pre-1992 deficit of \$882,338 (2019 - \$827,872) and a post-1991 deficit of \$393,906 (2019 - \$168,579). The university's portion of the UAPP deficit has been allocated based on its percentage of the plan's total employer contributions for the year.

The unfunded deficit for service prior to January 1, 1992 is financed by additional contributions of 1.25% (2019 - 1.25%) of salaries by the Government of Alberta. Employees and employers equally share the balance of the contributions of 2.90% (2019 - 2.90%) of salaries required to eliminate the unfunded deficit by December 31, 2043. The Government of Alberta's obligation for the future additional contributions is \$266,237 (2019 - \$258,270) at March 31, 2020.

The following special payments apply to the post-1991 period, and are shared equally between employees and employers:

- 3.38% of salaries until June 30, 2020, then 3.24% of salaries until December 31, 2021 (2019 - 4.44% of salaries until December 31, 2021)
- 1.71% (2019 - 1.71%) of salaries for 2022 and 2023
- 0.70% (2019 - 0.70%) of salaries for 2024 and 2025
- 0.25% (2019 - 0.25%) of salaries for 2026 and 2027

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**

(thousands of dollars)

**7. Employee future benefit liabilities (continued)**

**(a) Defined benefit plans accounted for on a defined benefit basis (continued)**

**Long-term disability (LTD) and general illness (GI)**

The university provides long-term disability and general illness defined benefits to its academic and support staff. An actuarial valuation of these benefits was carried out as at March 31, 2020. The long-term disability plan provides pension and non-pension benefits after employment, but before the employee's normal retirement date. The general illness plan provides similar benefits but for a maximum of 26 weeks (academic staff) or 120 days (support staff).

**Early retirement**

The early retirement benefits for support staff include a bridge benefit (2020 - \$19,204; 2019 - \$19,376) and a retirement allowance (2020 - \$7,524; 2019 - \$7,372). An actuarial valuation of these benefits was carried out as at March 31, 2020. The bridge benefit allows eligible employees who retire early to continue participating in several staff benefit programs between the date of early retirement and the end of the month in which the former employee turns 65. Benefits include group life insurance, employee family assistance program, supplementary health care and dental care. The support staff retirement allowance provides eligible employees (those with 20 years of pensionable service at retirement date) one week's base pay per full year of employment to a maximum 25 days pay.

**Supplementary retirement plan (SRP)**

The university provides a non-contributory defined benefit supplementary retirement benefit to executive. The SRP obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries, which management has adopted as their best estimate. An actuarial valuation of these benefits was carried out as at March 31, 2020. The SRP was closed to new members effective June 30, 2014, as part of the approval of the new defined contribution SRP for executives.

**Administrative/professional leave (leave)**

The university provides for certain executive to accrue a paid leave at the end of their executive appointment. Upon completing their term of service, the individual's salary and benefits in effect at the end of the service are paid for the duration of the leave. The leave obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries, which management has adopted as their best estimate. An actuarial valuation of these benefits was carried out as at March 31, 2020.

The expense and liability of these defined benefit plans are as follows:

	2020				2019			
	UAPP	LTD, GI <sup>(1)</sup>	Early retirement <sup>(1)</sup>	SRP, leave <sup>(1)</sup>	UAPP	LTD,GI <sup>(1)</sup>	Early retirement <sup>(1)</sup>	SRP, leave <sup>(1)</sup>
<b>Expense</b>								
Current service cost	\$ 48,489	\$ 17,815	\$ 929	\$ 349	\$ 44,499	\$ 17,386	\$ 964	\$ 617
Interest cost, net of earnings	10,955	1,812	749	317	3,714	2,075	1,052	436
Amortization of actuarial losses (gains)	6,019	328	(588)	79	(8,669)	1,519	(163)	171
	\$ 65,463	\$ 19,955	\$ 1,090	\$ 745	\$ 39,544	\$ 20,980	\$ 1,853	\$ 1,224
<b>Liability</b>								
<b>Accrued benefit obligation</b>								
Balance, beginning of year	\$ 1,327,412	\$ 38,136	\$ 19,095	\$ 9,564	\$ 1,201,832	\$ 39,380	\$ 24,210	\$ 10,418
Current service cost	48,489	17,815	929	349	44,499	17,386	964	617
Interest cost	75,406	1,812	749	317	73,098	2,075	1,052	436
Benefits paid	(58,743)	(17,854)	(1,110)	(3,162)	(56,064)	(17,082)	(1,430)	(1,785)
Actuarial losses (gains)	3,630	2,744	(45)	(34)	64,047	(3,623)	(5,701)	(122)
Balance, end of year	1,396,194	42,653	19,618	7,034	1,327,412	38,136	19,095	9,564
Plan assets	(1,147,191)	-	-	-	(1,147,170)	-	-	-
Plan deficit	249,003	42,653	19,618	7,034	180,242	38,136	19,095	9,564
Unamortized actuarial (losses) gains	(133,332)	(3,205)	7,110	488	(63,803)	(789)	7,653	375
Accrued benefit liability	\$ 115,671	\$ 39,448	\$ 26,728	\$ 7,522	\$ 116,439	\$ 37,347	\$ 26,748	\$ 9,939

<sup>(1)</sup> The university plans to use its working capital to finance these future obligations.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS  
YEAR ENDED MARCH 31, 2020**

*(thousands of dollars)*

**7. Employee future benefit liabilities (continued)**

**(a) Defined benefit plans accounted for on a defined benefit basis (continued)**

The significant actuarial assumptions used to measure the accrued benefit obligation are as follows:

	2020			2019		
	UAPP	SRP, leave	LTD, GI, early retirement	UAPP	SRP, leave	LTD, GI, early retirement
	%	%	%	%	%	%
<b>Accrued benefit obligation</b>						
Discount rate	5.6	3.8	3.8	5.6	3.9	3.9
Long-term average compensation increase	3.0	3.0	3.0	3.0	3.0	3.0
<b>Benefit cost</b>						
Discount rate	5.6	3.9	3.8	6.0	4.3	4.3
Long-term average compensation increase	3.0	3.0	3.0	3.0	3.0	3.0
Alberta inflation (long-term)	2.0	2.0	2.0	2.0	1.5	2.0
Estimated average remaining service life	10.6 yrs	Note <sup>(1)</sup>	1 - 13 yrs	10.6 yrs	Note <sup>(1)</sup>	1 - 13 yrs

<sup>(1)</sup> SRP actuarial gains and losses are amortized over the remaining contract terms of the participants.

**(b) Defined benefit plan accounted for on a defined contribution basis**

**Public Service Pension Plan (PSPP)**

The PSPP is a multi-employer contributory defined benefit pension plan for support staff members. As the university does not have sufficient information to follow the accounting standards for defined benefit plans, it is accounted for on a defined contribution basis. The pension expense recognized in these consolidated financial statements is \$29,602 (2019 - \$29,947).

An actuarial valuation of the PSPP was carried out as at December 31, 2017 and was then extrapolated to December 31, 2019. At December 31, 2019, the PSPP reported an actuarial surplus of \$2,759,320 (2018 - surplus of \$519,218). For the year ended December 31, 2019 PSPP reported employer contributions of \$321,306 (2018 - \$337,390). For the 2019 calendar year, the university's employer contributions were \$29,728 (2018 calendar year - \$30,142).

**(c) Defined contribution plans**

**Supplementary retirement plans (SRP)**

The university provides non-contributory defined contribution supplementary retirement benefits to eligible executive and academic staff members. The expense recognized in these consolidated financial statements is \$4,680 (2019 - \$3,315).

**(d) COVID-19 impact**

The fair value of the pension plans are subject to significant market volatility due to the economic crisis stemming from the global pandemic COVID-19 virus. To the extent that the pension plans may not recover market-losses during the remainder of 2020, the funded status of the plans would experience a correlated decline. The financial market impact of the outbreak has been rapidly evolving, which precludes a reasonable estimate of the impact.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**

(thousands of dollars)

**8. Debt**

The following debt is with Alberta Capital Finance Authority and is measured at amortized cost:

	<b>Maturity Date</b>	<b>Interest rate %</b>	<b>2020</b>	<b>2019</b>
<b>Collateral</b>				
Title to land, building	August 2024 - March 2048	2.815 - 6.000	\$ 185,918	\$ 192,842
Cash flows from facility	May 2020 - December 2047	4.814 - 6.250	41,988	44,629
General Security Agreement	December 2028 - June 2049	2.420 - 3.623	161,470	82,992
None	December 2025 - September 2036	2.599 - 5.353	14,174	15,334
<b>Balance, end of year</b>			<b>\$ 403,550</b>	<b>\$ 335,797</b>

Interest expense on debt recognized in these consolidated financial statements is \$13,380 (2019 - \$12,211).

Land and buildings pledged as collateral have a net book value of \$283,262 (2019 - \$293,236).

Principal and interest payments are as follows:

	<b>Principal</b>	<b>Interest</b>	<b>Total</b>
2021	\$ 17,466	\$ 14,370	\$ 31,836
2022	16,678	13,650	30,328
2023	17,336	12,992	30,328
2024	18,024	12,304	30,328
2025	18,741	11,587	30,328
Thereafter	315,305	108,570	423,875
	<b>\$ 403,550</b>	<b>\$ 173,473</b>	<b>\$ 577,023</b>

**9. Deferred revenue**

	<b>2020</b>			<b>2019</b>
	<b>Unspent externally restricted grants and donations</b>	<b>Student tuition and other revenue</b>	<b>Total</b>	<b>Total</b>
<b>Balance, beginning of year</b>	<b>\$ 547,908</b>	<b>\$ 30,850</b>	<b>\$ 578,758</b>	<b>\$ 548,016</b>
<b>Net change for the year</b>				
Grants, donations, endowment spending allocation and tuition	539,775	370,562	910,337	1,003,853
Transfers to spent deferred capital contributions	(68,112)	-	(68,112)	(58,516)
Recognized as revenue	(483,029)	(368,212)	(851,241)	(914,595)
<b>Net change for the year</b>	<b>(11,366)</b>	<b>2,350</b>	<b>(9,016)</b>	<b>30,742</b>
<b>Balance, end of year</b>	<b>\$ 536,542</b>	<b>\$ 33,200</b>	<b>\$ 569,742</b>	<b>\$ 578,758</b>

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**

(thousands of dollars)

**10. Tangible capital assets**

	2020					2019
	Buildings and utilities	Equipment, furnishings and systems	Learning resources	Land	Total	Total
<b>Cost</b>						
Beginning of year	\$ 3,653,721	\$ 1,278,528	\$ 476,733	\$ 84,027	\$ 5,493,009	\$ 5,384,360
Acquisitions	60,852	75,192	21,546	-	157,590	124,566
Disposals	(12,616)	(14,543)	(8,114)	-	(35,273)	(15,917)
	<b>3,701,957</b>	<b>1,339,177</b>	<b>490,165</b>	<b>84,027</b>	<b>5,615,326</b>	<b>5,493,009</b>
<b>Accumulated amortization</b>						
Beginning of year	1,425,505	1,025,353	358,061	-	2,808,919	2,652,331
Amortization expense	96,759	63,670	21,947	-	182,376	172,006
Disposals	(10,981)	(13,954)	(8,114)	-	(33,049)	(15,418)
	<b>1,511,283</b>	<b>1,075,069</b>	<b>371,894</b>	<b>-</b>	<b>2,958,246</b>	<b>2,808,919</b>
<b>Net book value, March 31, 2020</b>	<b>\$ 2,190,674</b>	<b>\$ 264,108</b>	<b>\$ 118,271</b>	<b>\$ 84,027</b>	<b>\$ 2,657,080</b>	<b>\$ 2,684,090</b>
Net book value, March 31, 2019	\$ 2,228,216	\$ 253,175	\$ 118,672	\$ 84,027	\$ 2,684,090	

Included in buildings and utilities is \$68,683 (2019 - \$18,548) recognized as construction in progress, which is not amortized as the assets are not in service.

Acquisitions include in kind donations in the amount of \$7,478 (2019 - \$3,673).

The university holds library permanent collections and other permanent collections which include works of art, museum specimens, archival materials and maps. These collections are expensed and therefore are not included in tangible capital assets.

**11. Spent deferred capital contributions**

Spent deferred capital contributions is comprised of externally restricted grants and donations spent on tangible capital assets, less amortization recognized as revenue.

	2020	2019
<b>Balance, beginning of year</b>	<b>\$ 1,847,187</b>	<b>\$ 1,900,241</b>
<b>Net change for the year</b>		
Transfers from unspent externally restricted grants and donations	68,112	58,516
Expended capital recognized as revenue	(115,828)	(111,570)
<b>Net change for the year</b>	<b>(47,716)</b>	<b>(53,054)</b>
<b>Balance, end of year</b>	<b>\$ 1,799,471</b>	<b>\$ 1,847,187</b>

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

**12. Net assets**

	Unrestricted	Investment in tangible capital assets	Internally restricted	Endowments	Total
<b>Net assets, March 31, 2018</b>	\$ 74,160	\$ 552,127	\$ -	\$ 1,379,534	\$ 2,005,821
<b>Annual operating surplus</b>	123,288	-	-	-	123,288
<b>Transfer to internally restricted</b>	(55,051)	-	55,051	-	-
<b>Endowments</b>					
New donations	-	-	-	36,227	36,227
Capitalized investment income	-	-	-	39,236	39,236
Transfer to endowments	(882)	-	-	882	-
<b>Tangible capital assets</b>					
Acquisitions	(65,606)	65,606	-	-	-
Debt repayment	(13,371)	13,371	-	-	-
Debt - new financing	16,837	(16,837)	-	-	-
Amortization	60,436	(60,436)	-	-	-
<b>Change in accumulated remeasurement gains</b>	(1,483)	-	-	(23,575)	(25,058)
<b>Net assets, March 31, 2019</b>	\$ 138,328	\$ 553,831	\$ 55,051	\$ 1,432,304	\$ 2,179,514
<b>Annual operating deficit</b>	(40,246)	-	-	-	(40,246)
<b>Transfer from internally restricted</b>	15,000	-	(15,000)	-	-
<b>Endowments</b>					
New donations	-	-	-	25,506	25,506
Capitalized investment income	-	-	-	84	84
Transfer to endowments	(2,327)	-	-	2,327	-
Transfer from endowments	30,522	-	-	(30,522)	-
<b>Tangible capital assets</b>					
Acquisitions	(87,313)	87,313	-	-	-
Debt repayment	(14,564)	14,564	-	-	-
Debt - new financing	20,024	(20,024)	-	-	-
Amortization	66,548	(66,548)	-	-	-
<b>Change in accumulated remeasurement gains</b>	(36,879)	-	-	(145,131)	(182,010)
<b>Net assets, March 31, 2020</b>	\$ 89,093	\$ 569,136	\$ 40,051	\$ 1,284,568	\$ 1,982,848

**Net assets is comprised of:**

Accumulated surplus	\$ 84,092	\$ 569,136	\$ 40,051	\$ 1,220,665	\$ 1,913,944
Accumulated remeasurement gains <sup>(1)</sup>	5,001	-	-	63,903	68,904
	\$ 89,093	\$ 569,136	\$ 40,051	\$ 1,284,568	\$ 1,982,848

<sup>(1)</sup> Accumulated remeasurement gains are unrealized gains which are not recognized as revenue until realized.

**Internally restricted net assets**

Internally restricted net assets represent amounts set aside by the university's Board of Governors for an investment income reserve to ensure that future obligations can be fulfilled in the event of significant investment losses. This amount is not available for other purposes without the approval of the Board and does not have interest allocated to it.

	2020	2019
Investment income reserve	\$ 40,051	\$ 55,051

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
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*(thousands of dollars)*

**12. Net assets (continued)**

The university's investment income earned from endowment investments was not sufficient to fund the current year's endowment spending allocation. Investment income earned was \$13,822 leaving an unfunded allocation of \$58,044. Of this amount, \$30,522 was spent by endowment holders. As such, the university has recorded a temporary encroachment on its endowment net assets of \$30,522 as at March 31, 2020. In addition, the university also has a future commitment of \$27,522 representing the unspent allocation provided per the University Endowment Pool (UEP) Spending policy. Since this \$27,522 represents a future commitment at March 31, 2020, it has not been recorded in the financial statements.

**13. Contingent assets**

The university has initiated a number of insurance claims arising in the normal course of business in which the outcomes may result in assets in the future. While the outcomes of these claims cannot be reasonably estimated at this time, the university believes that any settlement will not have a material effect on the financial position or the results of operations of the university. These contingent assets are not recognized in the consolidated financial statements.

**14. Contingent liabilities**

- (a) The university is a defendant in a number of legal proceedings arising in the normal course of business. While the ultimate outcome and liability of these proceedings cannot be reasonably estimated at this time, the university believes that any settlement will not have a material adverse effect on the financial position or the results of operations of the university. Management has concluded that none of the claims meet the criteria for recognizing a liability.
- (b) The university has identified a potential liability related to the existence of asbestos in a number of its facilities. Although not a current health hazard, upon renovation or demolition of these facilities, the university may be required to take appropriate remediation procedures to remove the asbestos. As the university has no legal obligation to remove the asbestos in these facilities as long as the asbestos is contained and does not pose a public health risk, the fair value of the obligation cannot be reasonably estimated due to the indeterminate timing and scope of the removal. The asset retirement obligations for these facilities will be recognized in the period in which there is certainty that the renovation or demolition project will proceed and there is sufficient information to estimate fair value of the obligation.

**15. Contractual rights**

Contractual rights are rights of the university to economic resources arising from contracts or agreements that will result in both assets and revenues in the future when the terms of those contracts or agreements are met.

Estimated amounts that will be received or receivable for each of the next five years and thereafter are as follows:

	Operating leases	Other contracts	Total
2021	\$ 1,638	\$ 2,388	\$ 4,026
2022	1,253	2,300	3,553
2023	880	2,280	3,160
2024	449	2,225	2,674
2025	260	1,742	2,002
Thereafter	416	4,309	4,725
	<b>\$ 4,896</b>	<b>\$ 15,244</b>	<b>\$ 20,140</b>
Total at March 31, 2019	\$ 6,900	\$ 11,771	\$ 18,671

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
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*(thousands of dollars)*

**15. Contractual rights (continued)**

During the year, the university entered into a 25 year lease to provide space to an entity under common control for a nominal amount. The remaining fair value over the lease term is estimated to be \$6,797.

The university also has contractual rights which cannot be reasonably estimated due to the nature of the agreements. The total of these rights is not material.

**16. Contractual obligations**

- (a) The university has contractual obligations that will result in liabilities in the future when the terms of the contracts are met. The estimated aggregate amount payable for the unexpired terms of these contractual obligations are as follows:

	Capital projects	Service contracts	Long-term leases	Total
2021	\$ 141,114	\$ 80,683	\$ 3,990	\$ 225,787
2022	115,921	11,392	2,538	129,851
2023	74,652	2,157	1,854	78,663
2024	38,499	842	1,794	41,135
2025	25,521	842	1,139	27,502
Thereafter	20,000	351	1,766	22,117
	<b>\$ 415,707</b>	<b>\$ 96,267</b>	<b>\$ 13,081</b>	<b>\$ 525,055</b>
Total at March 31, 2019	\$ 480,137	\$ 121,592	\$ 16,520	\$ 618,249

The significant service contracts are as follows:

- In order to manage its exposure to the volatility in the electrical industry, the university has entered into contracts to fix a portion of its electrical cost. The two contracts (2019 - three contracts) with expenditures totaling \$7,199 (2019 - \$16,212) expire over the next two years.
  - Effective August 1, 2015, the university entered into an agreement with an external party for dining and catering services. The agreement has four months remaining with a total estimated cost of \$3,467 (2019 - \$13,867). The agreement will be renewed effective August 1, 2020.
  - The university entered into agreements with two external parties for information technology support. The first agreement, effective July 1, 2015 for infrastructure management services, has three months remaining with a cost of \$934 (2019 - \$5,625). The agreement will be renewed effective July 1, 2020. The second agreement, effective July 1, 2019 for application management services, has two years remaining with a cost of \$3,667 (2019 - \$812).
  - Effective August 1, 2019, the university entered into an agreement with an external party for custodial services. The agreement has two years remaining with a cost of \$13,032 (2019 - \$3,300).
- (b) The university is one of 61 members of CURIE, the Canadian Universities Reciprocal Insurance Exchange, a self-insurance reciprocal established to share the insurable property, liability, and errors and omissions risks of member universities. The projected cost of claims against the exchange is based on actuarial projections and is funded through members' premiums. As at December 31, 2019, CURIE had an accumulated surplus of \$90,185 (2018 - \$79,338), of which the university's pro rata share is approximately 7.33% (2019 - 7.34%). This accumulated surplus is not recognized in the consolidated financial statements.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
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*(thousands of dollars)*

**17. Related parties**

The university is a related party to organizations within the Government of Alberta reporting entity. Related parties also include key management personnel, including the Board of Governors, and their close family members. Transactions with these entities and individuals are considered to be in the normal course of operations and are recorded at the exchange amount, which approximates fair value.

The university utilizes space provided by other related parties, mainly Alberta Health Services. This space is provided at a nominal cost. Due to the unique physical and operating arrangements in place, the specialized nature of the space and the integrated nature of operations, the fair value of these lease arrangements cannot be reasonably determined.

The university has debt with Alberta Capital Finance Authority as described in note 8.

**18. Budget**

The university's 2019-20 budget was approved by the Board of Governors and was presented to the Minister of Advanced Education as part of the university's submission of its 2019-20 Comprehensive Institutional Plan.

**19. Government transfers**

	2020	2019
<b>Government of Alberta grants</b>		
Advanced Education - Campus Alberta grant	\$ 626,861	\$ 671,283
Advanced Education - other grants	80,648	116,303
Alberta Health Services - Academic Medicine and Health Services Program	60,429	52,668
Alberta Health Services - other grants	6,642	5,022
Economic Trade and Development	44,844	66,217
Health	25,081	24,928
Other departments and agencies	9,336	17,989
	<b>853,841</b>	954,410
Expended capital recognized as revenue	68,147	67,238
Deferred revenue	(49,959)	(75,005)
	<b>\$ 872,029</b>	<b>\$ 946,643</b>
<b>Federal and other government grants</b>		
Natural Sciences and Engineering Research Council	\$ 55,793	\$ 52,643
Canadian Institutes of Health Research	38,992	35,899
Social Sciences and Humanities Research Council	30,468	30,981
Canada Research Chairs	15,497	12,430
Canadian Foundation for Innovation	13,156	13,843
Canada First Research Excellence Fund	12,264	13,090
Other	44,050	46,458
	<b>210,220</b>	205,344
Expended capital recognized as revenue	19,927	18,242
Deferred revenue	(16,494)	(13,686)
	<b>\$ 213,653</b>	<b>\$ 209,900</b>

The university currently holds \$11,553 (2019 - \$8,788) on behalf of federal and other government agencies. These amounts are not recognized in the university's consolidated financial statements.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**

(thousands of dollars)

**20. Expense by object**

	2020 Budget (Note 18)	2020	2019
Salaries	\$ 976,351	\$ 941,083	\$ 942,685
Employee benefits	199,075	209,241	184,786
Materials, supplies and services	298,588	279,345	276,808
Scholarships and bursaries	130,124	135,461	125,476
Maintenance and repairs	107,061	100,243	93,620
Utilities	50,174	47,521	46,829
Amortization of tangible capital assets	177,953	182,376	172,006
	\$ 1,939,326	\$ 1,895,270	\$ 1,842,210

Salaries and employee benefits include accrued termination benefits of \$6,247 (2019 - \$1,188) and \$408 (2019 - \$nil) respectively.

**21. Salaries and employee benefits**

	2020							Total
	Base salary <sup>(5)</sup>	Other cash benefits <sup>(6)</sup>	Non-cash benefits <sup>(7)</sup>	Non-cash benefits (DB SRP) <sup>(8)</sup>	Non-cash benefits (DC SRP) <sup>(9)</sup>	Non-cash benefits (leave) <sup>(10)</sup>		
<b>Governance <sup>(1)</sup></b>								
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Executive</b>								
President	500	250	52	31	64	63	960	
Provost and Vice-President (Academic) <sup>(11)</sup>	415	-	44	-	50	-	509	
Vice-President (Research and Innovation) <sup>(2)</sup>	375	10	42	-	26	77	530	
Vice-President (Facilities and Operations)	370	9	43	-	28	30	480	
Vice-President (Finance and Administration)	375	9	52	-	30	32	498	
Vice-President (University Relations) <sup>(3)</sup>	230	476	34	-	15	13	768	
Vice-President (Advancement)	206	74	39	-	16	-	335	
<b>2019</b>								
	Base salary <sup>(5)</sup>	Other cash benefits <sup>(6)</sup>	Non-cash benefits <sup>(7)</sup>	Non-cash benefits (DB SRP) <sup>(8)</sup>	Non-cash benefits (DC SRP) <sup>(9)</sup>	Non-cash benefits (leave) <sup>(10)</sup>	Total	
<b>Governance <sup>(1)</sup></b>								
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Executive</b>								
President	500	170	50	30	47	99	896	
Provost and Vice-President (Academic) <sup>(11)</sup>	415	-	43	-	43	-	501	
Vice-President (Research) <sup>(2)</sup>	367	10	46	-	25	58	506	
Vice-President (Facilities and Operations)	370	9	42	-	27	39	487	
Vice-President (Finance and Administration)	375	9	52	-	25	41	502	
Vice-President (University Relations)	350	9	41	-	26	35	461	
Vice-President (Advancement) <sup>(4)</sup>	305	29	41	-	20	22	417	

(1) The Chair and Members of the Board of Governors receive no remuneration for participation on the Board.

(2) The position title was changed July 29, 2019. In 2019, two individuals held this position. The interim Vice-President (Research) did not participate in any executive benefit programs except the DC SRP.

(3) In 2020, two individuals held this position. The interim Vice-President (University Relations), who served in this role on a part time basis, did not participate in any executive benefit programs except the DC SRP.

(4) In 2019, two individuals held this position. The interim Vice President (Advancement) did not participate in any executive benefit programs except the DC SRP.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

**21. Salaries and employee benefits (continued)**

- (5) Base salary includes pensionable base pay for all executive.
- (6) Other cash benefits include academic executive allowances, salary supplements, performance pay, market supplements, car allowances, mobile allowances and relocation allowances. Other cash benefits in 2020 also includes severance payments (salary continuance and lump sum payment) and a vacation payout for the former Vice President (University Relations).
- (7) Non-cash benefits include the university's share of all employee benefits and contributions or payments made on behalf of employees including pension, group life insurance, employee and family assistance program, critical illness, supplementary health care, short and long-term disability plans, and dental plan. Benefits for some of the executive also include supplemental life insurance and forgivable housing loans.
- (8) Under the terms of the Defined Benefit Supplementary Retirement Plan (DB SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total estimated cost to provide supplementary retirement benefits. The DB SRP provides future benefits to participants based on years of service and earnings. The cost of these benefits is actuarially determined using the projected benefit method pro rated on service, a market interest rate, and other assumptions included in the Canadian Institute of Actuaries' lump sum commuted value standard. Net actuarial gains and losses of the benefit obligations are amortized over the remaining terms of the participants' contracts. Current service cost is the actuarial present value of the benefits earned in the current year. The DB SRP was closed to new members effective June 30, 2014.

The DB SRP current service cost and accrued benefit obligation is as follows:

	2019		2020			
	Years of eligible University of Alberta service	Accrued benefit obligation	Service costs	Interest and other costs	Actuarial (gain) loss	Accrued benefit obligation <sup>(8b)</sup>
President <sup>(8a)</sup>	4.8	\$ 99	\$ 27	\$ 4	\$ (6)	\$ 124

(8a) The DB SRP was closed to new members effective June 30, 2014. However, a portion of the supplementary retirement benefit for the current President is calculated on a defined benefit basis, and the liability will be disclosed on this basis as service is provided.

(8b) The significant actuarial assumptions used to measure the accrued benefit obligation are disclosed in note 7.

- (9) Under the terms of the executive Defined Contribution Supplementary Retirement Plan (DC SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total cost to provide supplementary retirement benefits. The DC SRP provides future benefits to participants based on the value of the contributions at the end of their service. The cost of these benefits is calculated based on pensionable salary multiplied by a factor based on age and service. The DC SRP was introduced effective July 1, 2014, for all executives commencing employment on or after that date.

The DC SRP current service cost and obligation is as follows:

	2019		2020		
	Years of eligible University of Alberta service	DC SRP obligation	Service costs	Interest and investment earnings <sup>(9b)</sup>	DC SRP obligation
President	4.8	\$ 180	\$ 48	\$ 16	\$ 244
Provost and Vice-President (Academic)	4.8	126	39	11	176
Vice-President (Research and Innovation)	1.9	24	25	1	50
Vice-President (Facilities and Operations)	3.6	54	24	4	82
Vice-President (Finance and Administration)	3.4	62	25	5	92
Former Vice-President (University Relations) <sup>(9a)</sup>	2.3	40	11	3	54
Interim Vice-President (University Relations)	0.4	-	1	-	1
Interim Vice-President (Advancement)	1.4	6	15	1	22

(9a) Includes service to September 29, 2019 and the DC SRP obligation shown is at September 29, 2019.

(9b) Contributions are made on an annual basis at the end of the plan (calendar) year. Interest is paid in lieu of contributions being made every month. Investment earnings are distributed to each plan participant based on the overall return of the plan's investments.

**NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS**  
**YEAR ENDED MARCH 31, 2020**  
*(thousands of dollars)*

**21. Salaries and employee benefits (continued)**

<sup>(10)</sup> The administrative/professional leave (leave) plan current service cost and accrued benefit obligation is as follows:

	2019		2020			
	Years of eligible University of Alberta service	Accrued benefit obligation	Service costs	Interest and other costs	Actuarial (gain) loss	Accrued benefit obligation <sup>(10d)</sup>
President <sup>(10a)</sup>	4.8	\$ 339	\$ 90	\$ (27)	\$ 43	\$ 445
Vice-President (Research and Innovation) <sup>(10b)</sup>	1.9	59	79	(2)	(136)	-
Vice-President (Facilities and Operations)	3.6	102	38	(8)	1	133
Vice-President (Finance and Administration)	3.4	100	40	(8)	1	133
Former Vice-President (University Relations) <sup>(10c)</sup>	2.3	63	16	(3)	2	78

<sup>(10a)</sup> The current service cost and accrued benefit obligation for the President have been calculated based on the base salary which will be in effect at the end of the term of service on June 30, 2020. That base salary will be \$447 as stipulated in the *Reform of Agencies, Boards and Commissions (Post-secondary Institutions) Compensation Regulation, Schedule 2*. If calculated using the base salary of \$500, the accrued benefit obligation at March 31, 2020 would have been \$57 higher.

<sup>(10b)</sup> The Vice-President (Research and Innovation) has given the university notice of departure effective April 30, 2020. Based on the relevant employment agreement, there are no longer any circumstances under which a leave benefit will need to be paid out, and so the accrued benefit obligation has been reduced to \$0.

<sup>(10c)</sup> Includes service to September 29, 2019 and the accrued benefit obligation shown is at September 29, 2019.

<sup>(10d)</sup> The significant actuarial assumptions used to measure the accrued benefit obligation are disclosed in note 7.

<sup>(11)</sup> The Provost and Vice-President (Academic) participates in the administrative leave program available to faculty members in eligible administrative positions. Under that administrative leave program, an individual must apply for and receive approval for a leave; therefore, there is no leave accrual.

**22. Approval of financial statements**

The consolidated financial statements were approved by the Board of Governors.

**23. Comparative figures**

Certain comparative figures have been reclassified to conform to the current year presentation.

**24. Subsequent events**

On March 11, 2020, the World Health Organization declared the COVID-19 disease to be a global pandemic. On March 17, 2020, the Government of Alberta declared a state of public health emergency over the COVID-19. These declarations have impacted how the university operates. Specific impacted areas are:

**Staff**

On April 15, 2020, the university announced its intention to conduct temporary staff layoffs for a period of 16 weeks in response to the change in how the university operates under the public health emergency. The university intends to hire these staff back once the university resumes normal operations. No allowance has been made to the financial statements for this item.

**Enrolment**

The announced closure of Canada's borders to non-essential international travel is expected to have an impact on enrolment, especially if the restriction is still in place when the fall semester is to begin. This will have a negative impact on tuition revenue which cannot be reasonably estimated at this time. It is anticipated that enrolment of domestic students may increase as a result. No allowance has been made to the financial statements for this item.

**Fundraising**

The economic impacts of COVID-19 present uncertainty for fundraising in the year ahead. However, it is too early in the year to forecast specific implications to fundraising targets and results. No allowance has been made to the financial statements for this item.

**Provincial government funding**

Before the emergence of the COVID-19 pandemic, the university was operating under a general guideline of proposed funding cuts to its operating grant over this and the next two fiscal years. The emergence of this pandemic along with the historic drop in oil prices has resulted in uncertainty if the proposed guideline of cuts is still applicable. The overall impact to the university is uncertain and therefore cannot be reasonably estimated at this time. No allowance has been made to the financial statements for this item.

# APPENDIX B: ENROLMENT TABLE

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No update available from previous year.

# Annual Report Guidelines

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# Annual Report Guidelines

## INTRODUCTION

The Alberta Post-Secondary Institutions Annual Report Guidelines are intended to assist publicly funded post-secondary institutions in preparing their 2018/19 annual report. The guidelines identify the information institutions are required to provide in the annual report. Institutions may choose to include additional information to provide a more comprehensive picture of their achievements in the year on which they are reporting. The guidelines also outline the process institutions should follow in submitting their annual report.

Institutions are expected to use their Annual Report to report on the first year (2018/19) of their 2018/2019 – 2020/2021 Comprehensive Institutional Plan (CIP).

## CONTEXT

The *Post-Secondary Learning Act* requires that public institutions submit to the Minister of Advanced Education (the Minister) an annual report that includes their audited financial statements, as well as any other information required by the Minister. The submission of public institution annual reports and CIPs is also part of the accountability process provided for in the *Fiscal Planning and Transparency Act*.

In addition, the Minister requires that independent academic institutions approved to offer degree programs in Alberta and receiving program operations grants from government, submit an annual report that includes their audited financial statements, as well as any other information requested by the Minister.

All institutions receiving Campus Alberta Grants are required to submit to the Minister an annual report, including audited financial statements as per Schedule A of the grant funding agreement.

## PURPOSE OF THE ANNUAL REPORT

Post-secondary institution annual reports facilitate accountability to government and other stakeholders by relating the institution's actual performance to the goals, expected outcomes and performance measures identified in its CIP. Annual reports provide a vehicle for institutions to communicate the progress they have achieved during the year (in relation to their CIP) with respect to strategic, program, financial and campus development goals and to identify factors that may have affected their performance. The annual report is an integrated document that ties together the activities of the year in reporting on the programming, research, and operational activities and initiatives undertaken, and provides information that explains the variances

between actual accomplishments and planned and projected initiatives identified in the institution's CIP.

## ALBERTA ADVANCED EDUCATION USE OF ANNUAL REPORTS

Alberta Advanced Education reviews the institution's annual report for accountability purposes in the context of the goals, expected outcomes and performance measures outlined in the CIP for the same year and the institution's progress towards its goals. The Ministry also uses annual reports in monitoring compliance with legislation and government/Ministry policies.

The information contained in annual reports contributes to the department's understanding of institutions' achievements, as well as the challenges faced and the progress of Alberta's publicly funded institutions. This understanding contributes to informing department planning for the advanced education system.

Following review of the annual report, two letters will be sent out. The Executive Director will provide comments and feedback on the document to the Provost/VP Academic. The Minister will send a separate letter to the Board that will focus on governance and research items arising from the review. The letter from the Minister will include a carbon copy to the President of the institution and to the Minister of Economic Development and Trade, if applicable. In addition, department staff will follow up with institution officials to address outstanding matters that emerged from the review.

## GENERAL GUIDELINES

The annual report should link actual financial and non-financial performance to the goals, expected outcomes, strategies and initiatives set out in the institution's CIP for the year on which it is reporting.

For public institutions, the annual report is a public document. These institutions are required to make annual reports available to the public upon request. They are also required to post their annual reports on their websites.

The content should reflect the report's importance as a significant component of the accountability of board-governed institutions to Albertans.

Since annual reports are one of the tools institutions use to communicate with their various stakeholders, it is recognized that the format and tone of annual reports may differ among institutions. It is expected that all annual reports will include the required content identified below.

## ANNUAL REPORT: REQUIRED CONTENT

### 1. Accountability Statement

The statement signed by the institution's Board Chair on behalf of the Board is to be dated just prior to the annual report going to final print and should be worded as follows:

#### **Public Institutions**

*The [institution's] Annual Report for the year ended [e.g. March 31,20XX] was prepared under the Board's direction in accordance with the Fiscal Planning and Transparency Act and ministerial guidelines established pursuant to the Post-Secondary Learning Act. All material economic, environmental or fiscal implications of which we are aware have been considered in the preparation of this report.*

#### **Independent Academic Institutions**

*The [institution's] Annual Report for the year ended [e.g. March 31,20XX] was prepared under the Board's direction in accordance with ministerial guidelines. All material economic, environmental or fiscal implications of which we are aware have been considered in the preparation of this report.*

### 2. Management's Responsibility for Reporting

Institutions must include an overview, signed by the President/Chief Executive Officer and/or Senior Financial Officer, in reference to management's responsibility in providing the annual report. It should be worded as follows:

#### **Public Institutions**

*[Institution's Name]'s management is responsible for the preparation, accuracy, objectivity and integrity of the information contained in the Annual Report including the financial statements, performance results and supporting management information. Systems of internal control are designed and maintained by management to produce reliable information to meet reporting requirements. The system is designed to provide management with reasonable assurance that transactions are properly authorized, are executed in accordance with all relevant legislation, regulations and policies, reliable financial records are maintained and assets are properly accounted for and safeguarded.*

*The Annual Report has been developed under the oversight of the institution audit committee, as well as approved by the Board of Governors and is prepared in accordance with the Fiscal Planning and Transparency Act and the Post-Secondary Learning Act.*

*The Auditor General of the Province of Alberta, the institution's external auditor appointed under the Auditor General Act, performs an annual independent audit of the consolidated financial statements which are prepared in accordance with Canadian public sector accounting standards. (This does not apply to The Banff Centre.)*

### **Independent Academic Institutions**

*[Institution's Name]'s management is responsible for the preparation, accuracy, objectivity and integrity of the information contained in the Annual Report including the financial statements, performance results and supporting management information. Systems of internal control are designed and maintained by management to produce reliable information to meet reporting requirements. The system is designed to provide management with reasonable assurance that transactions are properly authorized, are executed in accordance with all relevant legislation, regulations and policies, reliable financial records are maintained, assets are properly accounted for and safeguarded.*

*The Annual Report has been approved by the Board of Governors and is prepared in accordance with Ministerial guidelines.*

### **3. Message from the President and/or Board Chair**

In referencing institution highlights and achievements in the previous year, the message should relate to progress towards the institution's plans as documented in its CIP, including:

- Fulfillment of the institution's mandate as approved by the Minister;
- Progress towards achievement of the institution's mission and/or vision;
- Opportunities and challenges faced during the year;
- Summary of institutional performance, including a summary of major accomplishments;
- Ongoing initiatives aimed at achieving CIP goals.

### **4. Public Interest Disclosure (Whistleblower Protection) Act**

The Public Interest Disclosure (Whistleblower Protection) Act (the Act) applies to provincial government departments, offices of the Legislature and to public entities. Public entities include any agency, board, commission, Crown Corporation, or other entity designated in the Regulations.

The purposes of the Act are to:

- Facilitate the disclosure and investigation of significant and serious matters an employee believes may be unlawful, dangerous or injurious to the public interest;
- Protect employees who make a disclosure;
- Manage, investigate and make recommendations respecting disclosures or wrongdoings and reprisals; and

- Promote public confidence in the administration of the departments, Legislative offices and public entities.

Section 32(1) of the Act requires every chief officer (see Public Interest Disclosure (Whistleblower Protection) Regulation) to prepare a report annually on all disclosures that have been made to the designated officer. (Section 32(2) of the Act identifies the information that must be included in the chief officer's report as the number of disclosures received, acted on and not acted on, the number of investigations commenced, a description of any wrongdoing found and any recommendations made or corrective measures taken regarding the wrongdoing or the reasons why no corrective measure was taken. This information is to be included in the institution's Annual Report as stated in section 32(3) of the Act.

This section of the Annual Report will fulfill your institution's disclosure requirements under the Public Interest Disclosure (Whistleblower Protection) Act.

For more information, please visit: <https://yourvoiceprotected.ca/chief-designated-officers/>

## 5. Operational Overview

Describe any significant changes in the institutional environment from the projections made in the CIP. Key drivers may include any significant changes to international, national, provincial or regional demographic, social and economic trends, and should also outline the institution's response to workforce trends.

The operational overview should also include any major changes to programming, in terms of overall increases or decreases as a result of enrolment data. The overall Annual Report should attempt to integrate the information from the operational overview into the results reported in other areas of the report.

## 6. Goals, Priority Initiatives, Expected Outcomes and Performance Measures

This section should include the progress made over the past year towards achieving the institution's goals, strategic priorities, expected outcomes and associated performance measures, along with related benchmarks as outlined in the CIP.

The key goals that should be included in this section are:

1. **Accessibility**, which means that every Albertan should have the same opportunity to get a post-secondary education.
2. **Affordability**, which means that every Albertan should have the same opportunity to get a post-secondary education, regardless of financial circumstances.
3. **Quality**, which means that Albertans should get the best education possible here at home.

4. **Coordination**, which means that Albertans should get full advantage from a diverse post-secondary system.

5. **Accountability**, which means that post-secondary education providers must be accountable to students, the government and Albertans. Accountability should be included as it relates to the above four key goals. As Accountability was not a required goal on its own in the 16/17-18/19 CIP, initiatives or procedures specific to accountability can be included if institutions choose.

6. **Other**

- Goals and priority initiatives related to **student mental health** and **sexual violence prevention policies**.
- Goals and initiatives for programming, research, and capital, as well as community outreach collaborations with other post-secondary institutions, Community Adult Learning providers, First Nations Colleges and the K-12 system, and initiatives targeted to underrepresented learners, as appropriate.

A general overview regarding progress towards goals and performance measures is required to be provided in the annual reports; however, the below detailed section can be provided either publicly in the Annual Report or privately directly to Advanced Education. There is no requirement to publish the below detailed breakdown publicly.

The following layout for reporting on the goals is strongly encouraged. The information in the first three columns should match the information included in the CIP. Institutions should describe program initiatives that have been taken to maintain and enhance the five main goals supported by specific strategies and associated performance measures identified in the CIP. The progress update should be a detailed review of actions taken to achieving the specific goals and any revisions to timelines, if applicable.

Type	Description	Expected Completion Date (from CIP)	Status	Progress Made in Last 12 Months	Revised Expected Completion Date
<b>Goals</b>					
G1	-	December 1, 2019	In Process	Additional funding received that allowed institutions to move forward with this goal sooner than anticipated.	August, 2018
G2	-	March 11, 2018	Outstanding	Goal 2 was deferred due to increased importance placed on Goal A.	December, 2018

Priority Initiatives					
PI 1					
Expected Outcomes					
EO1					
Performance Measures					
PM1					

## 7. Financial and Budget Information

Using the budget presented in the CIP, institutions should identify key variances between their budgeted statement of operations and their actual audited results. Institutions are to provide a detailed explanation for all material variances. The explanation should be integrated with the operations of the institution over the past year to provide a clear understanding of issues that have affected the financial situation over the course of the preceding year. The format of these statements should be as consistent as possible with prior years.

Institutions that have identified risk mitigation strategies in addressing financial risks reported in CIP can report on the outcomes and impacts for the reporting period.

The financial statements should be compliant and include the following Accounting Changes:

- PS 3280 Asset Retirement Obligations (effective April 1, 2021)
- PS 3450 Financial Instruments (effective April 1, 2021)
- The restructuring transactions can be removed effective April 1, 2018.

**The audited financial statements are to be included as an appendix to the Annual Report.**

## 8. Self-Generated Revenue

**NEW REQUIREMENT FOR 2019-20**

Institutions must provide a comprehensive list of self-generated revenue enterprises by category (Auxiliary/Ancillary Services, Academic Enterprises, Commercial Enterprises) and must include a description of the activity, the annual revenue, and the profit/loss.

You can find [Advanced Education's Self-Generated Revenue policy on CAPS](#).

Institutional self-generated revenue enterprises can be categorized as:

**Auxiliary/Ancillary Services:** An auxiliary or ancillary enterprise furnishes a service to students, faculty, or staff, and charges a fee at a minimum of cost recovery to ensure the cost is not subsidized by other sources such as government grants. The public may be

served incidentally by some auxiliary/ancillary enterprises including bookstores, student residences, parking lots, institutional catering services, and cafeterias.

**Academic Enterprises:** The activity is deemed to be an integral part of the post-secondary institution's educational, research, public service, and campus support functions, as well as other educational and support activities. Profit is not the primary motivator. Examples are continuing education, culinary school restaurants, agricultural operations, and breweries.

**Commercial Enterprises:** The activity or enterprise is outside an institution's primary education and research mandate and exists for the purpose of revenue generation. The institution's domestic students, faculty and staff are not directly served by, nor do they derive direct benefit from, the activity or enterprise. Examples are commercial land development, real-estate deals, and overseas campuses.

## 9. Enrolment Plan and Program Changes

A general overview regarding enrolment is required to be provided in the annual reports; however, a detailed review can be provided either publicly in the Annual Report or privately directly to Advanced Education. There is no requirement to publish the below detailed breakdown publicly.

Using the Enrolment Plan presented in the institution's CIP, compare the estimated enrolments with the actual enrolment by program for the most recent reporting year. Enrolment are to be presented using Full Load Equivalent (FLE).

Provide analysis concerning variances between projected and actual enrolments by program/specialization. In cases of international student enrolment, specifically document variances between projected and actual enrolments by program/specialization, with explanations.

Provide an update on the progress towards the priorities and timelines identified in the CIP with respect to the development and implementation of proposed new programs.

## 10. Research, Applied Research, and Scholarly Activities

Building on the research priorities and activities identified in the CIP, institutions should identify key research and innovation accomplishments, particularly those that pertain to the [Alberta Research and Innovation Framework](#).

## 11. Regional Stewardship, Foundational Learning, Underrepresented Learners

Identify progress made towards enhancing learner outcomes or increasing the efficiency and effectiveness of programs and services. Comprehensive Community Institutions should report on the impact and results of Regional Stewardship activities, and how the institution worked with community partners, particularly Community Adult Learning Program-funded organizations, to enhance access to, and respond to, regional foundational learning needs, and other credentialed and non-credentialed needs. Institutions should highlight activities that supported collaboration and the creation of strong networks with community partners to enhance access and pathways into learning.

All institutions should report progress towards specific initiatives for supporting foundational learners, Indigenous learners, learners with disabilities, rural learners, and learners from low-income backgrounds in this section. If the institution identified any access goals and measures, these should also be included.

## 12. Internationalization

Institutions are to report on their outcomes for international education.

The Ministry wants to ensure activities related to international education are in keeping with the principles of accessibility and quality. Therefore, institutions should report on any significant activities related to international education that could potentially impact access for Alberta learners. Also, institutions should report on activities that carry additional reputational and financial risk, such as new or ongoing off-shore/for-profit partnerships, offshore campuses, cross-border delivery of Alberta credentials, or other international ventures that draw on Albertans' investment in its post-secondary institutions.

Institutions are encouraged to report on successful (new or ongoing) initiatives undertaken to internationalize their institution; to grow the international skills and competencies of students/faculty/staff; and to increase access for Alberta learners through international student enrolment.

In addition, institutions must report activities involving development of collaborative, joint or dual credentials with non-Alberta based institutions. These are initiatives that received institutional funding for staff located off-shore and initiatives where institutions are supporting off-shore infrastructure, programs or activities.

### Transnational Education

As outlined in the new *Guidelines Transnational Education*, institutions are required to include a template of core metrics for off-shore delivery of programming in the Annual Report submission.

Report on Transnational Programs						
Name of Program	Type of Credential	Principal Mode of Delivery (e.g. in-person; international campus)	Name of Partner Institution	Country	Number of Students Participants (17/18)	Number of Graduates /Completers

### 13. Capital Plan

All publicly funded post-secondary institutions are required to provide a progress update on their capital projects over the past six months. As the CIP requires that institutions provide specific information on their planned priority projects, an update on all priority projects is required. A general capital plan overview is required in the annual reports.

In addition, a detailed review must be provided. The detailed review may be released to the public in the annual report. However, there is no requirement to publish the following detailed breakdown publicly. If the institution does not wish to release this detailed information publically, a separate appendix can be sent directly to Advanced Education. Please provide a report using these two tables:

<b>Type of Project and Funding Sources</b>					
<b>Type:</b>	<b>Project Description</b>	<b>Total Project Cost</b>	<b>Funding Sources:</b>	<b>Funding Received to Date and Source</b>	<b>Revised Funding Sources</b>
<b>Proposed New Expansion Maintenance</b>			<b>% GoA % GoC % PSI funds % donation % foundation % industry</b>		
<b>Priority Projects (top 3 Capital Priorities)</b>					
New	ABC Facility	\$35 million	40% GoA 40% GoC 10% industry 10% donation	\$5 million industry donation from Smith Construction Co. Ltd. Received in August 2018	Industry donation target added in April 2018 for 10% of project cost.
Expansion	Campus HUB	\$40 million	60% GoA 40% PSI	\$24 million from GoA received in June 2018	No change.
Maintenance	Utility Distribution Repairs		70% GoA Infrastructure Maintenance Program 30% PSI	No funds received to date	No change.
<b>Other</b>					
Proposed	Alberta Hall Student residence	\$70 million	50% internal 50% financing	PSI self-generated	No change.
<b>Other, continued</b>					

New	Alternative Energy Demonstration Lab	\$100 million	30% GoA 30% GoC 30% municipality 10% industry donation	\$30 million from GoA received in July 2018; \$30 million from GoC received in August 2018; awaiting municipality and industry contributions	In April 2018, revised from 35% requested from each of GoA, GoC and municipality to current funding source.
Expansion	CDE Science Building	\$100 million	35% GoC 25% GoA 20% research foundation 20% PSI	\$350,000 received from GoC in August 2018; \$250,000 received from GoA in July 2018; and \$200,000 received from research foundation in September 2018	No change.
Maintenance	Administration Building envelope repairs	\$ 5 million	80% GoA 20% PSI	\$2.5 million in IMP funding approved; and \$2.5 million will be generated from capital fund campaign.	IMP funding approved (\$2.5 million) is less than requested at 50% of project. Funding source revised to 50% from capital fund campaign.

<b>Project Timelines and Status</b>					
<b>Project Description</b>	<b>Project Timelines</b>	<b>Expected Project Start</b>	<b>Expected Project Completion</b>	<b>Project Status</b>	<b>Progress Made in Lasts 12 Months</b>
ABC Facility	estimated April 2019 – August 2021	estimated April 2019	estimated August 2021	project pending funding approval	project pending funding approval
Campus Hub	May 2018 – August 2022	May 2018	August 2022	project commenced in May 2018	site clearing, excavation and grading completed
Utility Distribution Repairs	estimated April 2019 – May 2024	estimated April 2019	estimated May 2024	IMP funding approved; project to commence in April 2019	IMP funding approved
Alberta Hall student residence	February 2018 – August 2021	February 2018	August 2021	in progress	excavation for utility trenches completed
Alternative Energy Demonstration Lab	May 2018 – August 2019	May 2018	August 2019	in progress	foundation concrete poured
CDE Science Building	September 2018 – August 2020	Sept 2018	August 2020	in progress	site clearing and excavation completed
Administration Building envelope repairs	May 2019 – July 2019	May 2019	July 2019	Capital fund campaign in progress	PSI's Capital fund campaign provided \$1 million towards project during 2017/2018

### Priority Projects:

- Must proceed in the next three to five years to address critical infrastructure and capacity needs.
- Must be in excess of \$2.5 million or 50 per cent of the institution's Infrastructure Maintenance Program grant, whichever is greater.

Priority Projects may arise because of an institution's:

- Future access and quality goals that support the delivery of high-demand programs.
- Infrastructure requirements to support research goals as outlined in the institution's CIP and the provincial research outcomes identified in Section 5b. Critical health and safety issues.
- Critical information technology infrastructure.

### Independent Academic Institutions

Independent Academic Institutions are not eligible to receive capital funding from the Alberta government. However, they are requested to provide information on their plans for capital expansion and renovation. In identifying their capital projects and priorities, Independent Academic Institutions may wish to include the relevant elements of the project descriptions outlined above. Independent Academic Institutions are not required to submit to BLIMS.

## 14. Information Technology

Institutions should report on the additional/incremental information technology resources obtained to support their operations over the prior year. Any significant variations from the original plan per the CIP should be noted and explained.

## ANNUAL REPORT TIMELINES

Consistent with the submission of annual reports by other government entities, **the deadline for institutions to submit their Annual Report is six months after their fiscal year-end.**

If finalized key performance data or other information are not available in time for institutions to meet this timeline, preliminary information can be noted in the Annual Report and be updated with actual information in future annual reports.

In accordance with the terms set out in the Campus Alberta Grant Agreement, institutions are required to meet the timelines to avoid potentially having payments withheld. Institutions are encouraged to work with internal stakeholders to ensure that the documents are finalized and signed off in a timely manner.

## COPIES

Printed Copies	One (1) hard copy	Submitted under the Board Chair's signature to the Minister of Advanced Education, with a copy to the Deputy Minister of Advanced Education.
	Ten (10) hard copies	Sent to Gilbert Perras, Executive Director, Operations, Advanced Education. The covering letter should include a link to the Annual Report posted to the institution's website and copies of supplemental information as required.
Electronic Copies	One (1) electronic copy	Posted to the Campus Alberta Project Site (CAPS).
	One (1) electronic copy	Posted on the institution's website to facilitate public access to the document.

Contact and address information for the Minister and Deputy Minister are available on the province's staff directory ([www.alberta.ca/staff-directory.cfm](http://www.alberta.ca/staff-directory.cfm)).

The copy sent to the Minister represents the Board's official submission as required in legislation. The Minister will acknowledge the submission in responding to the Board Chair. Subsequently, department staff will follow-up with institution officials on any outstanding issues as may be necessary.

Of the ten copies sent to the Executive Director, Operations, one copy will be distributed to Infrastructure, and one copy will be placed in the Alberta Government Library – 44 Capital Boulevard site for reference purposes. The remaining copies will be retained for department use.

## CONTACTS

The submission of ten hard copies go to:

**Catherine Gutwin**

Director, Operational Data and Information Branch

Advanced Learning and Community Partnerships Division Alberta Advanced Education

10<sup>th</sup> Floor, Commerce Place 10155 102 Street Edmonton, AB T5J 4L5

Phone: (780) 422-4322

Email: [Catherine.Gutwin@gov.ab.ca](mailto:Catherine.Gutwin@gov.ab.ca)

For assistance in preparing the Annual Report and to provide notification regarding submission deadlines, institutions are encouraged to contact:

**Catherine Gutwin**

Director, Operational Data and Information Branch  
Advanced Learning and Community Partnerships Division Alberta Advanced Education  
10<sup>th</sup> Floor, Commerce Place 10155 102 Street Edmonton, AB T5J 4L5  
Phone: (780) 422-4322  
Email: [Catherine.Gutwin@gov.ab.ca](mailto:Catherine.Gutwin@gov.ab.ca)

or

**Leila Williams, CPA, CMA**

Manager, Financial Data and Accountability  
Operational Data and Information Branch  
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10<sup>th</sup> Floor, Commerce Place 10155 102 Street Edmonton, AB T5J 4L5  
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Email: [Leila.williams@gov.ab.ca](mailto:Leila.williams@gov.ab.ca)

**Governance Executive Summary**  
**Action Item**

<b>Agenda Title</b>	<b>Recruitment and Selection of Employees Policy and Procedures</b>
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**Motion**

THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the amended Recruitment and Selection of Employees Policy Suite, as set forth in attachment 3, and authorize the Deputy Provost to make changes as outlined in the “Supplementary Notes and context” section below, all to take effect upon final approval.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Steven Dew, Provost & Vice-President (Academic)
Presenter(s)	Wendy Rodgers, Deputy Provost

**Details**

Office of Administrative Responsibility	Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	For review and recommendation of proposed changes to the Recruitment and Selection of Employees Policy and procedures.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The Recruitment policy suite establishes the principles and basic procedures for recruitment and selection of individuals to be employed by the University of Alberta. The policy suite is being revised in light of the mandate for policy review set out in the Strategic plan for Equity, Diversity and Inclusivity (EDI strategic plan) approved in 2018.</p> <p>The proposed changes are to ensure that recruitment and employment processes are equitable and inclusive, and conducive to achieving greater diversity of the university community. Making these changes is imperative to meet our own strategic goals as well as new and increasing accountability requirements for federal and other programs that support scholarship.</p> <p>The revisions of the Recruitment Policy suite will:</p> <ul style="list-style-type: none"> <li>• Incorporate EDI principles and practices for recruitment and selection processes</li> <li>• Remedy known exclusions and gaps in the current policy and procedures</li> <li>• Improve clarity and consistency across the current policy and procedures</li> </ul> <p>The proposed changes to practice include:</p> <ul style="list-style-type: none"> <li>• Clarification of principles for equitable recruitment and decision making processes</li> <li>• Revision of requirements for committee composition to ensure diversity and inclusion</li> <li>• Requirements for training on equity, anti-discrimination and bias-awareness</li> <li>• Emphasis of requirements for declaration of conflict of interest to ensure fairness</li> </ul>

Item No. 4

	<ul style="list-style-type: none"> <li>• Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants</li> </ul> <p>In addition to the above amendments intended to advance EDI, substantive changes are proposed to the Faculty Deans Review Procedure that aim to ensure fairness to incumbents and strengthen the process. These amendments address the following identified issues:</p> <ul style="list-style-type: none"> <li>• Provide clarity on how conflict of interest and confidentiality will be managed during the process;</li> <li>• Improve role clarity for all participants in the process by outlining a detailed, sequential description of the dean review process, from initiation to reappointment;</li> <li>• Streamline and standardize the Dean Review Committee composition for all Faculties;</li> <li>• Outline the specific metrics of performance being assessed through the introduction of Review Criteria;</li> <li>• Position dean review committees with better information at the beginning of the process by requiring tailored community consultation;</li> <li>• Provide more detailed community feedback to the incumbent dean prior to the Faculty Forum, allowing them the opportunity to more fully address community feedback at the Faculty Forum.</li> </ul> <p>Additional context is provided in Attachment 1 – Case for Action.</p> <p><b>Please note: The submission from AASUA (Attachment 4) was received after the document deadline. The presenter is prepared to address any resulting questions.</b></p>
<p>Supplementary Notes and context</p>	<p><b><u>Proposed amendment to the material:</u></b></p> <p>Subsequent to the May 26<sup>th</sup> Board Human Resources and Compensation Committee (BHRCC) meeting, and based on input received at that BHRCC meeting, administration is proposing to amend the language in the procedures relevant to the composition of selection committees and candidate pools to improve clarity and consistency. In general, the procedures indicate that committees or pools should reflect or exceed the diversity of the institution or discipline, and should be inclusive of historically underrepresented persons (e.g., see VP Selection Procedure 5.i, page 10). In each of these instances, it is proposed to amend the language to indicate that the committee or pool should be inclusive of persons historically under-represented at the University or within the discipline or unit.</p> <p>The rationale for the amendment is to clarify the intended emphasis on enhancing representation among members of historically underrepresented groups, and to mitigate ambiguity as to how the university would determine in each case whether composition had met or exceeded the diversity of the institution or unit. Diversity is multidimensional and intersectional and reflecting the full diversity of the university or a discipline in all of its dimensions within each committee or pool, comprising only a small number of people, is not practically possible.</p>

Item No. 4

**Engagement and Routing** (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p>&lt;For information on the protocol see the <a href="#">Governance Resources section Student Participation Protocol</a>&gt;</p>	<p><b><u>Those who are actively participating:</u></b></p> <ul style="list-style-type: none"> <li>• Office of the Provost &amp; Vice-President (Academic) – lead</li> <li>• Human Resource Services</li> <li>• Faculty Relations</li> <li>• Office of General Counsel</li> <li>• Provost’s Fellow on EDI Policy</li> </ul> <p><b><u>Those who have been consulted:</u></b></p> <ul style="list-style-type: none"> <li>• EDI Action Group</li> <li>• Office of Safe Disclosure and Human Rights</li> <li>• University Governance (on-going)</li> <li>• UAPPOL champions</li> <li>• Senior Administrative Officers</li> <li>• Office of the Vice-President (Research and Administration)</li> <li>• Office of the Vice-President (Facilities and Operations)</li> <li>• Office of the President</li> <li>• President’s Executive Committee – Operations</li> <li>• Statutory Deans’ Council</li> <li>• Vice-Provosts’ Council</li> <li>• Chairs’ Council</li> <li>• Joint Employment Equity Task Force</li> <li>• Non-Academic Staff Association (early consultation and circulation of final versions for comment)</li> <li>• Association of Academic Staff of the University of Alberta (early consultation and consultation on final versions– written comment to be circulated to GFC Executive when available)</li> </ul> <p><b><u>Those who have been informed:</u></b></p> <ul style="list-style-type: none"> <li>•</li> </ul>
<p>Approval Route (Governance) (including meeting dates)</p>	<ul style="list-style-type: none"> <li>• GFC (early consultation) – May 2019</li> <li>• GFC Executive (early consultation) – January 13, 2020</li> <li>• GFC (early consultation) – January 27, 2020</li> <li>• Board Human Resources and Compensation Committee (early consultation) – February 25, 2020</li> <li>• GFC Executive (comments from the Chair) – March 16, 2020</li> <li>• GFC (comments from the Chair and report on consultation) – March 30, 2020</li> <li>• GFC Executive (for recommendation) – May 11, 2020</li> <li>• GFC (for recommendation) – May 25, 2020</li> <li>• Board Human Resources and Compensation Committee (for recommendation) – May 26, 2020</li> <li>• Board of Governors (for approval) – June 19, 2020</li> </ul>

**Strategic Alignment**

<p>Alignment with <i>For the Public Good</i></p>	<p>Objective 3: Workforce (Faculty and Staff) of the EDI Strategy: <i>The university’s commitment to EDI is reflected in recruitment, retention, and advancement of faculty and staff; faculty and staff are prepared to work in a diverse environment and have the knowledge and skills to contribute to equity and inclusivity.</i></p>	
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <p><input type="checkbox"/> Enrolment Management                      <input type="checkbox"/> Relationship with Stakeholders</p>	

Item No. 4

	<input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-secondary Learning Act</i> sections 22(2), 26(1)(o), and 26(2), 83, 84 University of Alberta Strategic Plan for Equity, Diversity, and Inclusivity GFC Executive Committee General Faculties Council Board Human Resources and Compensation Committee Terms of Reference sections 2o,s,y; 3d	

Attachments

1. Addition of Equity Diversity and Inclusion Language to the Recruitment and Selection of Employees Policy Suite (“Recruitment Policy”) - Case for Action (3 pages)
2. Revisions to the Faculty Deans Review Procedure - Case for Action (1 page)
3. Amended Recruitment and Selection of Employees Policy “Recruitment Policy” Suite (70 pages) – for approval
  - a) Recruitment and Selection of Employees Policy “Recruitment Policy”
  - b) Vice-Presidential Search Procedure
  - c) Vice-Presidential Review Procedure
  - d) Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility
  - e) Faculty Deans Selection Procedure
  - f) Faculty Deans Review Procedure
  - g) Department Chairs Selection Procedure
  - h) Department Chairs Review Procedure
  - i) Academic Selection Procedure
  - j) Academic Staff Posting and Advertising Procedure
  - k) Support Staff Selection Procedure
  - l) Support Staff Posting and Advertising Procedure
  - m) Acting and Interim Senior Administration Appointment Procedure
4. AASUA written submission to GFC re changes to Recruitment Policy (4 pages)

Prepared by: Logan Mardhani-Bayne, Strategic Development Manager, Office of the Provost & Vice-President (Academic), [lmardhan@ualberta.ca](mailto:lmardhan@ualberta.ca)

## **Addition of Equity Diversity and Inclusion Language to the Recruitment and Selection of Employees Policy Suite (“Recruitment Policy”)**

### **Case for Action**

**Winter 2020**

#### **Context:**

The Recruitment policy suite establishes the principles and basic procedures for recruitment and selection of individuals to be employed by the University of Alberta. The policy suite is being revised in light of the mandate for policy review set out in the Strategic plan for Equity, Diversity and Inclusivity (EDI strategic plan) approved in 2018. The EDI strategic plan is a key element in creation of expectations and standards of accountability and transparency in creating a more diverse, equitable, and inclusive university. Such standards and associated reporting are now required by agencies such as the Canada Research Chairs Program (CRCP), for example.

The policy suite has not been reviewed holistically in 30 years, with sporadic review of some components during that time. The social context of recruitment and selection, along with the social and economic relevance of the university, have changed substantively over the years. To be a leader in social and economic responsibility and change, the university’s policies and procedures should be revised to reflect aspirational goals and to establish the university as a leader in EDI and as influential in social, cultural, and economic growth.

The proposed changes are to ensure that recruitment and employment processes are equitable and inclusive, and conducive to achieving greater diversity of the university community, which will deliver subsequent benefits of greater diversity of perspectives, critical thought, and social relevance. By adopting EDI principles and practices, the University hopes to achieve equity in the workplace and correct historical employment disadvantages experienced by persons underrepresented at the University, while maintaining and enhancing the quality of the workforce. Greater fairness in hiring practices ensures the university is not reproducing a narrow and thus ideologically impoverished approach to its mission to benefit society through teaching, learning, research and creative activity. Making these changes is imperative to meet our own strategic goals as well as new and increasing accountability requirements for federal and other programs that support scholarship.

Overall, the proposed changes incorporate best practices for ensuring fairness, which is the essential goal of EDI and bring the whole suite into alignment with contemporary expectations and standards regarding an equitable workforce. Historically, the lack of change or slow change in the diversity of particularly more senior employees, and the committees that selected them, suggest that a more firm and directive approach is required. Furthermore, the composition of the academy and its culture in the 1980s and 1990s is not commensurate with a current culture where, for example, the president is no longer the chair of all hiring committees for senior positions, and those senior positions are no longer professors with a particular interest, but specialists in finance or facilities, for example. Furthermore the employee groups those specialists lead have grown, or should have grown, in diversity of demographic characteristics as well as skills and credentials, necessitating conscientious attention to fairness and inclusivity

in those employment contexts. The way we choose our leaders and employees influences the university's ability to support its own workforce effective and thriving workforce.

**Key Objectives:**

The revisions of the Recruitment Policy suite will:

- Incorporate EDI principles and practices for recruitment and selection processes
- Remedy known exclusions and gaps in the current policy and procedures
- Improve clarity and consistency across the current policy and procedures

**Desired Outcomes:**

The revisions follow the principles set out under Objective 3: Workforce (Faculty and Staff) of the EDI Strategy:

*The university's commitment to EDI is reflected in recruitment, retention, and advancement of faculty and staff; faculty and staff are prepared to work in a diverse environment and have the knowledge and skills to contribute to equity and inclusivity.*

The proposed changes to practice include:

- Clarification of principles for equitable recruitment and decision making processes
- Revision of requirements for committee composition to ensure diversity and inclusion
- Requirements for training on equity, anti-discrimination and bias-awareness
- Emphasis of requirements for declaration of conflict of interest to ensure fairness
- Details on how to conduct an equitable and inclusive search and selection including the drafting of the job ad and advertising of the position to favour a diverse pool of applicants

**Summary of Changes:**

The Recruitment Policy has broad institutional impacts for recruitment and selection of staff at the University of Alberta. There are 22 procedures under the Policy, of which ten have been reviewed to integrate EDI principles. The overarching policy includes the EDI principles which are repeated in each of the procedures for clarity and consistency and to support typical usage. The proposed changes can be summarized as follows:

	Overview statement reflects EDI principles	Job posting drafted to promote EDI	Decision-making that supports EDI	Committee structure promotes EDI	Requirement for diverse applicant pools	Accountability of Senior Administrator for EDI in process	Management of conflict of interest
VP Search							
VP Review		N/A			N/A		
Deans Selection							
Dean's Review		N/A			N/A		

Chairs Selection							
Chairs Review		N/A			N/A		
Academic Selection							
Academic Posting and Advertising							
Support Staff Selection							
Support Staff Posting and Advertising							

**Responsibility:**

The policy review is sponsored by the Provost Vice-President (Academic) with the support of the Vice-President (Finance & Administration).

- The initiative is led by Deputy Provost Wendy Rodgers, in close collaboration with Human Resource Services (HRS), Faculty Relations (FR), and in consultation with General Counsel.
- Consultations will include senior leadership of the university including Deans, Chairs, Vice-Provosts and Vice-Presidents.
- Academic and non-academic staff associations will be formally asked for feedback.
- Special advice has been provided throughout by Provost's Fellow for EDI, Malinda Smith.

## **Revisions to the Faculty Deans Review Procedure**

### **Case for Action**

**Winter 2020**

### **Rationale for changes to the Dean Review Procedure**

Like the Recruitment Policy as a whole, the Dean Review Procedure has not been substantively reviewed since 2011. This review aligns with the Equity, Diversity and Inclusivity (EDI) Strategy requirement to review University policy using an equity lens. However, in addition to the EDI elements that were integrated throughout the suite, there are proposed substantive changes to the process that aim to ensure fairness to incumbents and strengthen the process.

### **Key Objectives and Summary of Changes:**

The revisions of the Faculty Deans Review Procedure will:

- Provide clarity on how conflict of Interest and confidentiality will be managed during the process;
- Improve role clarity for all participants in the process by outlining a detailed, sequential description of the dean review process, from initiation to reappointment;
- Streamline and standardize the Dean Review Committee composition for all Faculties;
- Outline the specific metrics of performance being assessed through the introduction of Review Criteria;
- Position dean review committees with better information at the beginning of the process by requiring tailored community consultation;
- Provide more detailed community feedback to the incumbent dean prior to the Faculty Forum, allowing them the opportunity to more fully address community feedback at the Faculty Forum.

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May 11, 2020

# Recruitment and Selection of Employees Policy “Recruitment Policy”

Office of Accountability: Provost and Vice-President (Academic) and Vice-President (Finance and Administration)

Office of Administrative Responsibility: Vice-Provost & Associate Vice-President (Human Resources) and Faculty Relations, Office of the Provost & Vice-President (Academic)

Approver: General Faculties Council & Board of Governors

Scope: Compliance with University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

To sustain its high quality workforce, the University of Alberta (“University”) is committed to hiring the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its *Strategic Plan for Equity, Diversity, and Inclusivity* (“EDI Strategic Plan”) and Institutional Strategic Plan *For the Public Good*. The University seeks to be a leader in equity, diversity and inclusivity in recruitment.

The University will actively encourage the recruitment of persons historically under-represented at the University - including women, Indigenous persons, members of visible minority groups, persons with disabilities and persons who identify with under-represented sexual orientations, gender identity or expression. Achieving the University’s goals of an equitable, diverse, inclusive and high-quality workforce, requires the conscious adoption of principles and practices in its recruitment processes including its processes related to the composition of selection and review committees. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

By adopting EDI principles and practices, the University hopes to achieve equity in the workplace and correct employment disadvantages experienced by persons historically underrepresented at the University.

## Purpose

The purpose of this policy is to set out the principles and practices that apply to

- recruitment decisions and processes, and
- candidates for employment

in order to recruit an equitable, diverse, inclusive and high-quality workforce. Doing so will contribute to

the University's mission, achieve equality in the workplace, correct employment disadvantages experienced by persons historically underrepresented at the University, and advance excellence, innovation, creativity and engagement for the public good.

## POLICY

### 1. RECRUITMENT PRINCIPLES

- a. Each recruitment process will be viewed as an opportunity to move towards a more equitable, diverse and inclusive community of high-quality employees. In all recruitment processes, the job posting will describe the required qualifications in an objective, equitable, and inclusive way.
- b. Decisions will be governed by federal and provincial law and legislation, in accordance with the terms and conditions set out in our collective agreements and staff handbooks, University policy, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan all as may be amended from time to time.
- c. Recruitment and decision-making processes will be structured to promote the equitable assessment of candidates. They will reflect a commitment to removing employment-related barriers, especially those experienced by persons historically under-represented.
- d. Equity, diversity and inclusivity should factor into the choice of selection committee members themselves as well as the short-listed candidates. Specifically, committees and candidate pools should, to the extent possible, include persons historically under-represented in the discipline, field, and/or employment or job category of focus.
- e. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour the selection of person(s) historically under-represented at the University, especially in the discipline, field and/or employment or job category of focus. This shall be done in accordance with the terms and conditions of the collective agreements.
- f. **Senior administrators** are responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

### 2. PRINCIPLES REGARDING CANDIDATES FOR EMPLOYMENT

- a. All qualified individuals may apply for an employment position at the University including University employees, students and alumni. The University actively encourages persons historically under-represented at the University to apply by, for example, advertising in media accessed by those groups.
- b. **Foreign nationals** may apply for employment positions. The appointment of a foreign national to the position is, however, subject to applicable federal and provincial laws and legislation.
- c. The employment of **children** is subject to applicable provincial laws and legislation.
- d. The University's **Conflict Policy** and *Managing Conflict of Interest in Employment Procedure* applies to the recruitment and employment of persons with the University. **Family members** or **associated individuals** may apply for employment positions but the related employee will not be included in the recruitment process or hiring decision. At the same time, family members or associated individuals should receive full consideration for University positions for which they are qualified.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Foreign national** Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

**Children** Persons under the age of 16 as defined in s.65(1) of the Employment Standards Code.

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

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

**Associated Individuals** An individual whose employment by a staff member would have the appearance of being a conflict of interest. This includes consensual personal relationships and business relationships.

## RELATED LINKS

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca).

[Alberta Human Rights Act \(Government of Alberta\)](#)

[Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict \(UAPPOL\)](#)

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

[Employment Standards Code \(Government of Alberta\)](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

[Ethical Conduct and Safe Disclosure Policy \(UAPPOL\)](#)

Human Resources and Skills Development (Government of Canada)

Immigration and Refugee Protection Act (Department of Justice)

Post-Secondary Learning Act (Government of Alberta)

Public Service Employee Relations Act (Government of Alberta)

[University of Alberta's Strategic Plan for Equity, Diversity and Inclusivity](#)

**PUBLISHED PROCEDURES OF THIS POLICY**

Academic Selection Procedure

Academic Staff Posting and Advertising Procedure

Acting and Interim Senior Administration Appointment Procedure

Department Chairs Review Procedure

Department Chairs Selection Procedure

Department Chairs Selection Procedure (Appendix B): Terms and Conditions for Department Chairs

Determination of a Worker's Status Procedure

Faculty Deans Review Procedure

Faculty Deans Selection Procedure

Faculty Deans Selection Procedure Appendix A: Dean Selection Committees for Individual Faculties

Housing Support Procedure

Moving Expenses and Relocation Benefits for Academic Staff Members Procedure

Presidential Review Procedure

Presidential Search Procedure

Presidential Search and Review Procedures (Appendix A): Committees for President Position Definitions and Eligibility

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

Recruitment Policy (Appendix B) Definition and Categories of Support Staff

Selection of Department Chairs Procedure (Appendix A): Roles and Responsibilities

Support Staff Posting and Advertising Procedure

Support Staff Selection Procedure

Vice-Presidential Review Procedure

Vice-Presidential Search Procedure

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

# Vice-Presidential Search Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its Vice President employment opportunities and aspires to achieve an equitable, diverse and inclusive community of senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Vice-Presidential search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

## Purpose

The purpose of this procedure is to

- establish a Vice-President ("VP") Advisory Search Committee ("Committee") and set out the composition of the Committee
- outline the election procedures for the academic staff members to the Committee
- provide information about the general Vice-President search process
- outline measures for management of **conflict**
- describe how the recommendations to the President and the Board are made and considered.

## PROCEDURE

### 1. VP ADVISORY SEARCH COMMITTEES

a. A Committee for the relevant vice-presidential position shall be established. The rules governing the composition of committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

- i. Provost and Vice-President (Academic).

- ii. Vice-President (University Relations)
- iii. Vice-President (Finance and Administration)
- iv. Vice-President (Facilities and Operations)
- v. Vice-President (Research and Innovation)
- vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- drawing together the Committee
- to the extent possible, ensuring that Committee members reflect broad demographic and diversity, inclusive of persons historically under-represented
- where necessary, appointing an additional member in consultation with the comprised Committee to ensure diversity (see the *Vice-Presidential Search and Review Procedures Appendix A*)
- ensuring that the Committee positions are properly replenished
- making Committee members aware of their obligations under applicable University policy, **the University's Employment Equity Statement** and the *Discrimination, Harassment and Duty to Accommodate Policy*, and the *EDI Strategic Plan* all as may be amended from time to time
- providing Committee members with applicable resources, including but not limited to training offered by the *Disclosure*, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity
- concepts of bias awareness, and discrimination
- the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict -throughout the process.

## 2. ELECTION PROCEDURES FOR VICE PRESIDENT ADVISORY SEARCH COMMITTEE

### b. ELECTION OF NOMINEES

- i. Elections will be managed by the GFC Secretary (or their delegate) using a process that is fair and transparent.
- ii. Committee composition is set out in the Vice-Presidential Search and Review Procedures Appendix A.

### c. ELECTORATE

The electorate consists of the elected faculty representatives who sit on GFC on a "representation by population" basis and the appointed Academic Staff representatives.

### 3. VICE PRESIDENT SEARCH PROCESS

#### 1. Conflict of Interest

- a) All Committee members should consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's *Conflict Policy* and its associated procedures.
- b) Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
- c) Where a conflict can be managed, the chair shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
- d) Where a conflict cannot be managed to the satisfaction of the chair and President, the nominee may be disqualified and replaced through 2(a) as defined above.

#### 2. Consultant

- a) The President may retain a search consultant and may seek advice from the Committee with respect to retaining a consultant.
- b) The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization. The requirement for this expertise should be included in the advertisement.
- c) The consultant will agree to conduct their search with goals of attracting the best-qualified candidates and achieving an equitable, diverse and inclusive community of senior administrators.

#### 2. Advertisement

- a) Any advertisement for a Vice-President position will:
  - i. describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way
  - ii. follow the spirit of the requirements set out in the Academic Staff Posting and Advertising Procedure
  - iii. appear simultaneously or later than postings on University of Alberta Careers website.
- b) Efforts should be made to advertise in media accessed by persons historically under-represented at the University.
- b)c) The advertisement will normally include a deadline or target date for receipt of applications/nominations and may note that a search may continue past a deadline, until the position is filled.

#### 3. Input from the Community

##### a. The University community will be canvassed for their views on:

- The characteristics desirable in the Vice-President being selected
- The skills, competencies, experiences, and credentials
- The priorities of that vice-presidential portfolio;
- Current issues and future directions of the portfolio
- Leadership qualities; and
- The demographic diversity of the senior administrative team.

##### b. Input from the University community will include a position description and/or position profile and will normally be sought through targeted methods to bring the search to the attention of all **employees** and

students.

c. The Committee may also wish to seek input from external communities and to the extent possible, from persons historically under-represented at the University.

d. The Committee shall seek input specifically from groups not represented among Committee membership. Committee members may bring perspectives from their constituencies.

#### 4. Confidentiality

a. Each Committee may identify certain aspects of their discussions as appropriate for public discussion; however, discussion of candidates is confidential.

#### 5. Considerations

a. At its pre-interview meetings, the Committee will normally consider the following:

i. principles of equity, diversity and inclusion and the University's mission set out in its EDI Strategic Plan, as may be amended from time to time

ii. Confidentiality

ii. Handling records and FOIPP-related issues

iii. Procedural matters and Terms of Reference

iv. Attendance

v. The advertisement, position description and profile

vi. Key issues related to the portfolio;

vii. All resumes and applications, with advice on who should be interviewed;

viii. Input from the community and portfolio staff, especially from groups not represented in the Committee;

ix. Interview process (including fulfilling the University's Duty to Accommodate Procedure), and questions.

x. The need to manage conflict of interest throughout the process.

b. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Vice President position in an objective, equitable and inclusive way.

c. The Committee should have regard to inclusive and explicit criteria for the Vice President position in reviewing and evaluating applications.

b-d. The President should:

- ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
- employs fair, equitable and inclusive indicators for determining the best-qualified candidate
- ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

e-e. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.

- d.f. Where the candidate is from outside the University and is also seeking an academic staff appointment, the Committee shall request that the relevant Academic Staff advisory selection committee make the recommendation in relation to the academic staff appointment.
- g. At each stage of the process, the Committee members should be allocated sufficient time to consider all materials, information, and candidates in a fair and equitable manner.
- h. The Committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- i. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University, inclusive of persons historically under-represented at the University. Specifically, the pool should be inclusive of persons historically under-represented in the position of Vice-President.
- j. Where candidates are determined to be similarly qualified for a position, the final hiring decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

#### 4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

- a. Following interviews, the Committee will recommend one or more candidates to the President. The President will choose one candidate from among the names recommended by the Committee. If none of the candidates are acceptable to the President, the President will return the matter to the Committee.
- b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC), will make a recommendation with respect to the compensation and benefits of the appointment.
- c. The President will inform the Board Chair of the name of their selected candidate. The Board Chair, the Chair of BHRCC and the President will then determine whether the candidate's compensation and benefits expectations fall within Board guidelines.
- d. The President will present their candidate to the BHRCC which, in turn, will make a recommendation to the Board of Governors. BHRCC will also consider and approve the compensation and benefits for the recommended candidate, subject to approval of the candidate's appointment by the Board of Governors.
- e. The Board of Governors has the authority to accept or reject the recommended candidate. If the Board rejects the candidate the matter is returned to the President.

#### DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

## FORMS

There are no forms for this Procedure.

## RELATED LINKS

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca).

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

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict (University of Alberta)

Approval Date: December 11, 2009

Most Recent Editorial Date: May 21, 2014

Parent Policy: Recruitment Policy

# Vice-Presidential Review Procedure

Office of Administrative Responsibility: Office of the President

Approver: Board of Governors

Scope:

Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its Vice-President employment opportunities and aspires to achieve an equitable, diverse and inclusive community of senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Vice President search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

## Purpose

The purpose of this procedure is to

- establish a Vice President (“VP”) Advisory Review Committee (“Committee”) and set out the composition of the Committee
- outline the election procedures for the academic staff members to the Committee
- outline the general Vice President review process
- outline measures for management of **conflict**
- describe how the recommendations to the President and the Board are made and considered.

## PROCEDURE

### 1. REQUEST FOR REVIEW

- a. The Vice-President shall advise the President of their request for consideration of renewal for an additional term. This request shall be received by the President not less than 12 months prior

to the end of the incumbent Vice-President's term. Exceptions may be granted at the discretion of the President.

b. Upon such request the President shall establish a Committee in accordance with the following procedures.

## 2. COMPOSITION OF VP ADVISORY REVIEW COMMITTEES

a. The rules governing the composition of Committees for the following positions are set out in Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility.

- i. Provost and Vice-President (Academic).
- ii. Vice-President (University Relations)
- iii. Vice-President (Finance and Administration)
- iv. Vice-President (Facilities and Operations)
- v. Vice-President (Research and Innovation)
- vi. Vice-President (Advancement)

b. The Office of the President is responsible for:

- i. drawing together the Committee
- ii. to the extent possible, ensuring that Committee members reflect broad demographic and diversity, inclusive of persons historically under-represented
- iii. where necessary, appointing an additional member in consultation with the comprised Committee to ensure diversity (see the *Vice-Presidential Search and Review Procedures Appendix A*)
- iv. making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, and the EDI Strategic Plan all as may be amended from time to time
- v. providing Committee members with applicable resources, including but not limited to training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS). Committee members are responsible for awareness of equity, anti-discrimination and bias, and knowledge of relevant policies and procedures.

c. Committee members are responsible for familiarizing themselves with

- the principles of equity, diversity and inclusivity
- concepts of bias awareness, and discrimination
- the obligations under applicable University policies and statements, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
- Members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of conflict throughout the process.

d. The incumbent shall be given an opportunity to review the proposed Committee composition and shall be able to signal and potential conflicts of interest.

## 3. ELECTION PROCEDURES FOR MEMBERS OF ADVISORY REVIEW COMMITTEE

### b. ELECTION OF NOMINEES

- i. Elections will be managed by the GFC Secretary (or their delegate) using a process that is fair and transparent.
- ii. Committee composition is set out in the Vice-Presidential Search and -the GFC Secretary will manage Review Procedures Appendix A.

### c. ELECTORATE

The electorate consists of the elected faculty representatives who sit on GFC on a “representation by population” basis and the appointed academic staff representatives.

## 3. VICE PRESIDENT REVIEW PROCESS

### a. Conflict of Interest

- i. All Committee members must consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University’s Conflict Policy and its associated procedures.
- ii. Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
- iii. Where a conflict can be managed, the President shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
- iv. Where a conflict cannot be managed to the satisfaction of the President, the nominee may be disqualified and replaced through 2(b)(iv) as defined above.

### b. Input from the Community

- i. The University community will be canvassed for their views on:
  - the characteristics desirable in the Vice-President being reviewed,
  - the priorities of that vice-presidential portfolio;
  - current issues and future directions of the portfolio; and
  - leadership qualities.
  - consideration of equity and the demographic diversity of the senior administrative team.
- ii. Input from the University community will normally be sought through targeted methods to bring the review to the attention of all academic staff, non-academic staff, and students. Staff in the current portfolio will also be asked for their input. When input from the internal community is sought, a position description and/or a position profile will be included.

c. The Committee may also wish to seek input from external communities.

d. Confidentiality – Each Committee may identify certain aspects of their discussions as appropriate for public discussion.

e. The Committee shall seek input specifically from groups not represented among committee membership. Committee members may bring perspectives from their constituencies.

### f. The President should

- ensure the Committee documents practices for ensuring the fair and equitable assessment of the incumbent

- ensure that Committee evaluations are supported by evidence and that the incumbent's strengths and weaknesses are evaluated fairly and consistently.

#### 4. RECOMMENDATIONS TO THE PRESIDENT AND THE BOARD

- a. The Committee will advise the President as to whether it recommends the incumbent nominee. If a positive recommendation is made by the Committee, the President will communicate this to the Board Chair.
- b. The President, after consultation with the Board Chair and Chair of the Board Human Resources and Compensation Committee (BHRCC), will make a recommendation regarding compensation and benefits with respect to the appointment.
- c. The Board Chair, the Chair of BHRCC, and the President will then determine whether the nominee's compensation and benefits expectations fall within the Board guidelines.
- d. If the nominee, the President, the Board Chair and the Chair of BHRCC agree, the President presents his or her nominee to BHRCC who makes a recommendation to the Board of Governors. BHRCC also considers and approves the compensation and benefits, subject to approval of the reappointment by the Board of Governors.
- e. The Board has the authority to accept or reject the recommended incumbent. If the Board rejects the incumbent the matter is returned to the President.

#### DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Staff Category A1.0 Refer to Recruitment Policy (Appendix A) for definitions of Staff.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental

disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

## RELATED LINKS

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

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

Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility (UAPPOL)

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Conflict Policy – Conflict of Interest, Commitment, and Institutional Conflict (University of Alberta)

Approval Date: December 11, 2009

Most Recent Editorial Date: January 6, 2014

Parent Policy: Recruitment Policy

This document is an appendix to its parent document. Questions regarding this document should be addressed to the Office of Administrative Responsibility.

# Vice-Presidential Search and Review Procedures Appendix A: Committees for Vice-Presidents Position Definitions and Eligibility

Office of Administrative Responsibility: Office of the President

Approver: Board Human Resources and Compensation Committee

## COMPOSITION OF ADVISORY SEARCH AND REVIEW COMMITTEES FOR VICE- PRESIDENTS:

All employees described in Category A1.0 and D1.2 of the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* ("Academic Staff") who do not currently hold an administrative position (of Associate or Assistant Dean or Department Chair, and from amongst MAPS) are eligible to serve as members of the VP Advisory Search Committee.

In the event the Committee does not sufficiently reflect the demographic diversity of the University, an additional Committee member may be appointed by the President in consultation with the comprised Committee.

In the case of Review Committees, the President will consult the incumbent Vice-President under review on the composition of the Committee to assess potential or perceived conflicts of interest. The President will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the President may replace a Committee member.

### 1. PROVOST AND VICE-PRESIDENT (ACADEMIC)

- a) President as Chair of the Committee
- b) One member of the Board of Governors appointed by the Board
- c) Two Academic Staff Members elected by the faculty and the appointed academic staff representatives on GFC.
- d) One (1) member of Statutory Deans' Council including appointed (D1.1) members
- e) One member of the AASUA appointed by the AASUA  
Two members of the Students' Union appointed by the Students' Council
- f) One member of the Graduate Students' Association appointed by the GSA
- g) One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

**Total: Ten (10) members**

2. VICE-PRESIDENT (UNIVERSITY RELATIONS)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) One member of the Senate appointed by the Senate
- e) President of the Alumni Association
- f) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- g) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- h) One member of the Students' Union appointed by the Students' Council
- i) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8

**Total: Ten (10) members**

3. VICE-PRESIDENT (FINANCE AND ADMINISTRATION)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) Two Academic Staff members elected by the faculty and the appointed academic staff representatives on GFC.
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the Students' Union appointed by the Students' Council
- g) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

**Total: Nine (9) members**

4. VICE-PRESIDENT (FACILITIES AND OPERATIONS)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One members of the Board of Governors appointed by the Board
- d) Two Academic Staff members, elected by the faculty and the appointed academic staff representatives on GFC
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the Students' Union appointed by the Students' Council
- g) One member of the Graduate Students' Association appointed by the GSA
- h) One external representative, with expertise in the area of facilities and/or operations, appointed by the Board in consultation with the President.

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

**Total: Ten (10) members**

#### 5. VICE-PRESIDENT (RESEARCH AND INNOVATION)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors as appointed by the Board
- d) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- e) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- f) One member of the AASUA appointed by the AASUA  
One member of the Students' Union as appointed by the Students' Council
- g) Two members of the Graduate Students' Association appointed by the GSA
- h) One member of the Non-Academic Staff Association appointed by NASA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

**Total: Eleven (11) members**

#### 6. VICE-PRESIDENT (ADVANCEMENT)

- a) President as Chair of the Committee
- b) Provost and Vice-President (Academic)
- c) One member of the Board of Governors appointed by the Board
- d) One member of the Senate appointed by the Senate
- e) President of the Alumni Association
- f) One Academic Staff member, elected by the faculty and the appointed academic staff representatives on GFC.
- g) Two (2) members of Statutory Dean's Council including appointed (D1.1) members, one of whom must be a Dean
- ~~g~~h) One member of the Students' Union appointed by the Students' Council
- ~~h~~i) One member of the Graduate Students' Association appointed by the GSA

For a list of staff who are not eligible to serve on the advisory search and review committees for Vice-Presidents, please see Section 8.

**Total: Ten (10) members**

7. Once members have been elected to any of the above Committees, the President may in consultation with the Board Chair or Chair of the Board of Human Resources and Compensation Committee (BHRCC) name up to two additional Academic Staff members to the Committee to ensure broad representation from the University. In those instances where the Committee is not broadly representative of the university community, an additional Committee member may be added by the President in consultation with the comprised Committee.

#### 8. STAFF WHO ARE NOT ELIGIBLE TO SERVE ON ADVISORY AND REVIEW COMMITTEES FOR VICE-PRESIDENTS

Staff who are on leave are not eligible to serve on Committees for Vice-Presidents. The term leave includes: administrative leave, sabbatical, political, medical, parental, childbirth, disability, assisted, secondment.

Staff who hold the administrative positions of Vice-Dean, Associate or Assistant Dean or Department Chair at the time of the initial nomination are not eligible to serve. Other Staff who hold administrative positions may not be eligible to serve. Please refer to *Conflict of Interest and Commitment and Institutional Conflict Policy*.

All nominees shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with relevant university policies. Methods for the management of conflicts of interest shall be approved by the Faculty Relations.

Original Approval Date: May 3, 2011 Most Recent Approval Date: April 11, 2016

Most Recent Editorial Date: December 13, 2013

Parent Policy: Recruitment Policy

# Faculty Deans Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope:

Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its decanal employment opportunities and aspires to achieve an **equitable, diverse and inclusive** community of **senior administrators** and **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Faculty Dean search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

With respect to the procedures for the selection of Faculty Deans, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

## Purpose

The purpose of this procedure is to

- provide a general outline of the Faculty Dean selection process
- describe the composition of the Dean Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee's Dean selection procedures
- outline measures to manage **conflict**
- describe the Dean appointment process.

## PROCEDURE

### 1. GENERAL OUTLINE OF FACULTY DEAN SELECTION PROCESS

- a. By virtue of the Post-Secondary Learning Act (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors who has delegated their authority to the Board Human Resources Compensation Committee (BHRCC) in accordance with procedures approved by General Faculties Council.
- b. These procedures declare that such appointments shall be made by the Board on the recommendation of the President. The President's recommendation is based on the recommendation of the Committee. The Provost and Vice-President (Academic) is required to present the Committee's selection to the President. The President has the authority to accept or reject the committee's recommendation. If the President accepts, they recommend the appointment to the Board of Governors through BHRCC. If the President does not accept the committee's recommendation, they will meet with the committee to explain this decision.
- c. The process of selection at the end of a term is initiated by the Provost and Vice-President (Academic) for Deans at least nine (9) months prior to the end of the incumbent's term.

### FACULTY DEAN SELECTION COMMITTEE

1. Committee and its composition
  - a. All selections shall be carried out by a duly constituted Faculty Dean Selection Committee ("Committee").
  - b. The composition of Committees varies by Faculty. Changes to the composition of individual Faculties' selection committees may be initiated by the Faculty or by the Provost but must be approved by their respective Faculty Councils.
  - c. Overall, the Committee composition should, to the extent possible, be considerate of relevant diversity-related issues. Specifically, Committees should be inclusive of persons historically under-represented relative to the pool of deans.
  - ~~e.d.~~ Committee members designated by the President, Provost or Vice-President (Research and Innovation), should, to the extent possible, ensure the Committee is inclusive of persons historically under-represented relative to the discipline, field, and pool of deans.
  - ~~d.e.~~ Once the Committee has been established, with all members elected or designated, the Provost will consult with the President on the composition of the Committee. The President may, in consultation with the Chair or Vice-Chair of the GFC Nominating Committee, name up to two additional members to the Committee to ensure broad representation and, to the extent possible, address relevant diversity-related issues.
  - ~~e.f.~~ Requirements or elements common to the Committees across all Faculties include the following,
    - Provost and Vice-President (Academic), or designee, chairs the Committee.
    - Vice-President (Research & Innovation), or designee, vice-chair.
    - Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee
    - Academic Faculty Members
    - Undergraduate and Graduate Students
    - Support Staff, and/or Management and Professional Staff (MAPS)
    - Representation from General Faculties Council.

- f.g. The Provost shall establish guidelines for Committees. A Committee is charged with obtaining the best-qualified person available for the position and contributing to the University's goal of achieving an equitable, diverse and inclusive community of senior administrators.
- g.h. The Provost as chair of the Committee is responsible for:
- making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time and documenting and confirming these efforts
  - providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).
  - ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
  - hold the Committee to account to employ fair, equitable and inclusive indicators for determining the best-qualified candidate
  - ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.
- h.i. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity, concepts of bias awareness and discrimination, the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
2. All members shall abide by the Statement of Ethical Conduct, in particular, with respect to management of **conflict** throughout the process. Conflict of Interest
- a. All Committee members must consider potential conflicts of interest. Members will be asked to complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accordance with the University's Conflict Policy and its associated procedures.
  - b. Conflicts will be reviewed throughout the process as situations may arise that are related to the applicant pool.
  - c. Where a conflict can be managed, the Chair shall be notified and the management of it shall be approved by the President, in consultation with Faculty Relations.
  - d. Where a conflict cannot be managed to the satisfaction of the Chair and President, the nominee may be disqualified and replaced through 1(f) as defined above.
  - e. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.
  - f. In no instance shall the membership of a Committee include:
    - (1) a current candidate for the office
    - (2) the outgoing Dean
    - (3) any person with an apparent conflict of interest as determined by the Provost.
3. Quorum
- a. At any meeting of a Committee for Dean where a final decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, the Provost or Vice-President (Research and Innovation), and no more than two (2) of the other members shall be absent.
  - b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

## DEAN SELECTION PROCEDURES

### 1. General Case

#### *Soliciting applicants*

- a. The Committee shall invite suggestions concerning possible candidates from the members of the Faculty concerned and encourage the nomination of persons historically under-represented at the University and Faculty.
- b. In addition to accepting applications from qualified candidates a Committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.
- c. The committee is responsible to ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the University inclusive of persons historically under-represented and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

#### *Advertisement*

- d. All vacancies must be advertised within the University, in accordance with the University's *Academic Staff Posting and Advertising Procedure*.
- e. Advertisements will appear simultaneously or later than postings on the University of Alberta Careers website.
- f. If a vacancy may be filled by an appointee from outside the University, then the vacancy must be advertised widely outside the University, including in media accessed by persons historically under-represented at the University.

#### *Evaluation of qualifications and selection of candidate*

- g. The Committee may consult with the incumbent Dean of the Faculty and/or other source in the subject Faculty where it requires additional information concerning the duties, functions, responsibilities, authorities, *et cetera* of the Dean position in question.

h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Dean position in an objective, equitable and inclusive way.

i. The Committee should have regard to inclusive and explicit criteria for the Dean position in reviewing and evaluating applications.

j. The Committee chair should:

- Ensure the Committee documents practices for ensuring the fair and equitable assessment of candidates
- Employs fair, equitable and inclusive indicators for determining the best-qualified candidate
- Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated fairly and consistently.

~~h-k.~~ All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.

~~i-l.~~ The Committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.

~~j-m.~~ Where the candidate is from outside the University, the Committee shall also serve as the Faculty Selection Advisory Committee in relation to the academic staff appointment.

~~k-n.~~ If the incumbent is a candidate, past performance must be considered by the Committee.

- o. The committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- p. At each stage of the selection process the Committee members should be allocated enough time to consider all materials, information, and candidates in a fair and equitable manner.
- q. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University. Specifically, the candidate pool should be inclusive of persons historically under-represented relative to the pool of deans.
- r. Where candidates are determined to be similarly qualified for the Dean position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.
- s. When the Committee has reached a decision on the candidate, the Provost is required to present the Committee's selection to the President.

## 2. Special Cases for Selection Procedures

### *Engineering Deans*

- a. The Committee shall recommend (1) candidate as the proposed Dean. The Academic Staff members of the Faculty shall, by a simple majority vote, indicate acceptance or rejection of the committee's recommendation. The ballot paper shall read:
 

I accept the Committee's recommendation for Dean

I reject the Committee's recommendation for Dean
- b. In the event of rejection, the Committee shall recommend another candidate.
- c. The vote, by secret ballot, shall be conducted by the selection committee in accordance with the procedures laid down by the Faculty of Engineering.
- d. The Chair of the Committee, shall make the vote known to the successful candidate, including abstentions

## DEAN APPOINTMENT PROCESS

- a. If the conditions of employment and criteria for future evaluation of the person selected differ from statutory duties or standard expectations, these must be specified fully at the time of appointment.
- b. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.
- c. The term of office shall not exceed five (5) years. The letter of appointment must specify whether reappointment is to be by Selection or Review as set out in the Dean's Review Procedure.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the

opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University’s workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University’s workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University’s *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**Faculty Member** “Faculty Member” means a full-time Academic Faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Collective Agreement, Schedule A– Academic Faculty Members.

**University Employment Equity Statement** “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

## RELATED LINKS

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

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

[Recruitment Policy \(Appendix A\) \*Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff\* \(UAPPOL\)](#)

[Recruitment Policy \(Appendix B\) \*Definition and Categories of Support Staff\* \(UAPPOL\)](#)

[Faculty Deans Review Procedure \(UAPPOL\)](#)

[Faculty Deans Selection Procedure Appendix A \*Dean Selection Committees for Individual Faculties\* \(UAPPOL\)](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#) **Approval Date: February 6, 2012** **Most Recent Approval Date: June 27, 2019**

Most Recent Editorial Date: July 29, 2019

Parent Policy: Recruitment Policy

## Faculty Deans Review Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	General Faculties Council Executive Committee
<b>Scope:</b>	Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) and to the members of the Board of Governors.

### Overview

The University of Alberta (“University”) is committed to appointing the best-qualified deans and aspires to achieve an equitable, diverse and inclusive community of senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Faculty Dean review process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

By virtue of the Post-Secondary Learning Act (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors who has delegated their authority to the Board Human Resources Compensation Committee (BHRCC) in accordance with procedures approved by General Faculties Council.

With respect to the procedures for the review and reappointment of a Faculty Dean (“Dean”), the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine or editorial nature. For matters of a substantive nature, the GFC Executive Committee will recommend to the BHRCC. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

### Purpose

A new Dean will be appointed for an initial term through the Faculty Deans Selection Procedure. Should the incumbent Dean be considered for reappointment for a subsequent term, this Faculty Deans Review Procedure will be employed.

The purpose of this procedure is to set out:

- the principles and practices that apply to review of incumbent Deans in order to ensure a fair and equitable process.
- how the Dean review and reappointment is initiated

- matters pertaining to the Dean Review Committee (the “Committee”) including its mandate, composition, and how potential **conflicts** of interest, quorum and privacy and confidentiality are managed
- the Dean review process including the review criteria, consultations, the provision of feedback to the Dean, the Faculty forum and the committee’s recommendation on reappointment
- the exceptions to this procedure
- the delegated authority for Dean appointments and with respect to the Dean review and reappointment procedures

## PROCEDURE

### 1. INITIATION OF THE DEAN REVIEW AND REAPPOINTMENT PROCESS

#### A. Standard Review and Reappointment Process

The review and reappointment process is initiated by the Provost at least sixteen (16) months prior to the end of the incumbent’s term or as otherwise set out in the relevant employment agreement.

#### B. Review by petition process

During the incumbent Dean’s term, petitions for an out-of-cycle review can be submitted to the Provost, by petition.

- Where the petition is signed by a majority of **faculty members** in the Faculty, the Provost will initiate this review procedure. Signatories for such petitions may not include faculty members on leave.
- Where the petition is not signed by a majority of faculty members in the Faculty, the Provost, in consultation with the President, will decide whether to initiate the review and reappointment process or an alternative process, to be determined by the Provost and President.
- Where a review by petition is undertaken, the President, after considering the recommendation of the review committee or the results of the alternative process, will either decide that
  - a) the Dean will complete the term of appointment, in which case the decision is final and binding, and inform the BHRCC.
  - b) recommend to the BHRCC that the Dean’s appointment be terminated, following which the BHRCC will decide whether to terminate the appointment of the Dean before the end of their term.

Where the incumbent is endorsed to continue their normal term, if applicable, the standard Dean Review procedure will be undertaken in the ordinary course.

#### C. Term

A Dean will normally serve no more than two terms.

Any exception to the two-term limit will be based on a recommendation from the Provost to the President, who will make the final decision.

In instances where the President decides that a third term may be sought, the Faculty Deans Review Procedure or a Dean Selection Procedure will be implemented at the discretion of the Provost and President.

Under no circumstances will a Dean serve more than three terms.

### 2. THE DEAN REVIEW COMMITTEE

#### A. Mandate of the Dean Review Committee

The mandate of the Committee is to make recommendations to the Provost and President on the reappointment of an incumbent Dean. To fulfill this mandate, the committee is charged with reviewing the performance of an incumbent Dean, collecting feedback through broad consultation with stakeholders, and conducting an interview with the incumbent.

The Committee will be struck at least 8 months before the end of the incumbent's term.

The Provost as chair of the Committee is responsible for:

- making Committee members aware of their obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*, the **University's Employment Equity Statement** and the *EDI Strategic Plan* all as may be amended from time to time and documenting and confirming these efforts
- providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for

- familiarizing themselves with the principles of equity, diversity and inclusivity, concepts of bias awareness and discrimination, the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*, the *University's Employment Equity Statement* and the *EDI Strategic Plan* all as may be amended from time to time.
- abiding by the *Statement of Ethical Conduct* with a particular focus on the management of conflict of interest and conflict of commitment throughout the process.

## B. Composition

i. The members of the Committee are:

- Provost, or designee, (Committee Chair);
- Vice-President (Research and Innovation), or designee, Committee Vice-chair;
- Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee;
- 2 Academic Faculty Members from the incumbent Dean's Faculty, to be elected by Faculty Council;
- 1 Undergraduate and 1 Graduate Student from the incumbent Dean's Faculty, to be selected by the Students' Union and the Graduate Students' Association;
- 1 Support staff member (Category S1.0) from the incumbent Dean's Faculty
- 1 Administrative and Professional Officer (A1.2), or Management and Professional Staff (MAPS) from the incumbent Dean's Faculty;

The largest proportion (>50%) of the total Committee membership should be comprised of Academic Faculty Members, the Provost, Vice-President (Research and Innovation), and Vice-Provost and Dean of FGSR).

Elected representative(s) from other academic staff categories may be added in Faculties where the staff numbers are sufficient (ATS, FSO, TRAS and/or TLAPS).

The composition of the Committees for the Vice-Provost and Dean of Students, and the Vice-Provost and Dean of FGSR, and the Vice-Provost and Chief Librarian may be different and are specified in *Faculty Deans Selection Procedure Appendix A: Committees for Individual Faculties*.

ii. Equity, diversity and inclusivity should factor into the composition of the review committee members.

iii. Procedures for the selection of faculty members, students, staff and Management and Professional staff should be documented and reviewed by the Office of the Provost and Vice-President (Academic) to ensure that they are consistent with the principles expressed in the *Recruitment Policy* around equity, diversity, and inclusivity.

The incumbent Dean will not be eligible to vote in the election of representatives to serve on their Dean

#### review committee.

iv. Once the Committee has been established, the Provost and Vice-President (Academic) will consult with the Chair or Vice-Chair of the GFC Nominating Committee and name up to two additional members to the selection committee to ensure sufficient representation and diversity.

v. Conflict of interest must be managed proactively across the review process. The Provost may consult the incumbent Dean on the composition of the review committee to assess potential or perceived conflicts of interest. The Provost will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the Provost will replace the Committee member.

All Committee members shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accord with relevant university policies. Where a real or perceived conflict of interest cannot be managed to the satisfaction of the Provost, the Committee member will be replaced.

### C. Procedures

#### 1) Quorum

At any Committee meeting where a decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, that is, either the Chair or Vice-Chair, and no more than two (2) of the other members shall be absent.

#### 2) Confidentiality

Personal information collected or created by or on behalf of the Committee is confidential and must be managed in accordance with the University's Access to Information and Protection of Privacy Policy. Members of the Committee will be required to sign confidentiality agreements. At any time in the process, the Chair may remove members from the Committee who fail to honor commitments to confidentiality. Members may seek information from their constituencies and keep constituencies apprised of the non-confidential aspects of the review process. The Chair will guide Committee members with respect to consultations with their constituencies.

#### 3) General

The Chair is responsible for making Committee members aware of their obligations under the *Discrimination, Harassment and Duty to Accommodate Policy, Code of Conduct, the Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy* and of applicable resources, including but not limited to the training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for awareness of equity, anti-discrimination and bias awareness, and knowledge of relevant policies and procedures prior to the first meeting. This should be confirmed and documented by the Chair.

## 3. REVIEW PROCESS

### A. Review Criteria

The Provost, in consultation with the President, will provide the Dean with the review criteria for reappointment. The review criteria will include an assessment of their achievements as Dean and the position description used at the time of appointment. The review criteria will take into consideration any issues that arose over their term.

The Dean will write a self-assessment on their performance relevant to the review criteria over their first term. The Committee will use the criteria to guide consultations with the Faculty and relevant university and community stakeholders and to inform their recommendation on the reappointment of the incumbent.

### B. Consultations and recommendation on reappointment

The Provost will determine a suitable consultation procedure to be implemented on a suitable timeframe to promote equitable participation by community members and stakeholders and fair evaluation of the incumbent.

The Committee will consult at a minimum with Academic Faculty Members, staff, and students.

The Committee will solicit feedback from stakeholder groups as determined to be relevant according to review criteria.

All consultations, including the Faculty forum, will be documented and a process for online written submissions will be established. Anonymous submissions will not be admitted but submissions may be anonymized before submission to the Committee.

The relevancy of all materials submitted will be determined by the Committee in consultation with Faculty Relations.

The Committee should consult with diverse colleagues as well as proactively solicit feedback from individuals from diverse backgrounds and perspectives.

Members of the Faculty are strongly encouraged to provide feedback during the consultations to ensure broad input.

#### C. Feedback Provided to the Dean

After the relevancy of all material submitted has been determined by the Committee and Faculty Relations, the Chair will provide the incumbent Dean with a summary of the material gathered respecting the confidentiality of respondents where requested. Simply providing original documents with identifying information redacted will not be acceptable.

#### D. Faculty Forum

- The Committee members will attend a Faculty forum for members of the Faculty and University community, which the Provost will chair.
- The Provost will be invited to present a summary of the Dean's achievements during their term(s) as Dean as relevant to the review criteria.
- The Dean will give an oral presentation that must include achievements during their term(s) as Dean, and address any expectations that arose during their term, and articulate their vision and goals for the next term.
- There will be time at the end of the presentations for Q & A from attendees.
- An online consultation will remain open to the community for a minimum of 3 working days following the forum to gather feedback on the Dean's presentation provided at the Faculty Forum.

#### 4. RECOMMENDATION ON REAPPOINTMENT

- The Committee will meet to review the feedback from the community following the Faculty forum. Consideration of all materials provided will inform their decision.
- The Committee will vote to either support or deny the incumbent Dean's reappointment.
- The Provost will advise the President of the committee's recommendation. If the President doesn't accept the committee's recommendation, the President will meet with the committee to explain the President's reasons.
- When the President endorses reappointment of the Dean, the President will then recommend to the Board of Governors through the BHRCC that the Dean be reappointed. BHRCC will vote to reappoint the Dean or not.
- Following a decision not to renew the appointment of the Dean, or to terminate the appointment of the Dean after a review pursuant to Section 4 of this Procedure, the President will inform the Board of the decision and instruct the Provost to initiate the Selection of Faculty Deans Procedure and invite the Provost to appoint an Interim Dean.

## 5. EXCEPTIONS TO THESE PROCEDURES

At any time, notwithstanding the provisions in these procedures, the President, in their discretion, may recommend the suspension or termination of the appointment of a Dean without establishing a Committee where any action, omission, policy violation, or behaviour of the Dean, alleged or in fact, becomes or reasonably could become materially injurious to the University and its reputation. Termination of the appointment as Dean does not alter the academic appointment of the Dean under the Board/AASUA Collective Agreement. The recommendation of suspension or termination of the appointment of a Dean under such conditions will be made by the President to BHRCC, following which BHRCC will decide whether to suspend or terminate the appointment of a Dean.

## 6. DELEGATION OF AUTHORITY

By virtue of the *Post-secondary Learning Act* (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors (Board) who has delegated its authority to the BHRCC in accordance with procedures approved by General Faculties council.

With respect to the Dean Review Procedures, the Board and GFC delegate their approval authority to the GFC Executive Committee for all routine or editorial amendments. For substantive amendments, the GFC Executive Committee recommends to the BHRCC, which retains approval authority for substantive amendments. The Provost and Vice-President (Academic) determines whether amendments are routine/editorial or substantive.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental

disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

# Department Chairs Selection Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its Department Chair (“Chair”) employment opportunities and aspires to achieve an equitable, diverse and inclusive community of senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Department Chair search process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

With respect to the procedures for the selection of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

## Purpose

The purpose of this procedure is to

- provide a general outline of the Chair selection process
- describe the composition of the Chair Selection Committee, how potential conflicts of interest are addressed and the requirements for quorum
- set out the Committee’s Chair selection procedures.

## PROCEDURE

### 1. GENERAL OUTLINE OF CHAIR SELECTION PROCESS

- a. Where a Faculty is divided into Departments, for each Department there shall be appointed a Department Chair
- b. For Department Chairs, selection procedures (rather than review procedures) will be used in all cases unless a Faculty Council has adopted regulations that review or other procedures be used in that Faculty and such regulations have been approved by GFC. Notwithstanding the two basic procedures - selection and review - a certain amount of flexibility may also be permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Some Faculty Councils have adopted an alternate procedure, approved by GFC, whereby Department Chairs are appointed for an initial term with consideration of renewal by review for one additional term before search and selection procedures are invoked. This is the case in the following Faculties:

- i. Faculty of Agricultural, Life and Environmental Sciences
- ii. Faculty of Arts
- iii. Faculty of Education
- iv. Faculty of Medicine and Dentistry
- v. Faculty of Rehabilitation Medicine

c. Additionally, Faculties should review the demographic diversity of their entire group of chairs when undertaking a Chair selection to assess equity and inclusion. When necessary, they should take proactive measures in Chair selection to ensure that overall, the composition of the entire group of Chairs is inclusive of persons historically under-represented. Such measures should be designed in consultation with the Provost and General Counsel and should be consistent with this Policy and its associated Procedures.

~~e.d.~~ The letter of appointment must specify whether reappointment is to be by selection or review. The conditions of employment and criteria for future evaluation of the person selected must be specified fully at the time of the appointment if these differ from statutory duties or standard expectations. Acceptance of an appointment is taken as indicating acceptance of the procedures and criteria to be used at the end of the term. The letter of appointment is binding on both the Board and the person being appointed.

~~d.e.~~ The term of office for a Department Chair will not exceed five (5) years.

The process of selection or review at the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term. The Dean shall be responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

## 2. THE CHAIR SELECTION COMMITTEE

### General Composition of Selection Committees

- a. The Committee will normally consist of the following voting members:
  - Dean of the Faculty concerned, or designee, Chair.
  - Dean of the Faculty of Graduate Studies and Research, or designee.
  - Provost and Vice-President (Academic), or designee.
- b. Three (3) Academic Faculty Members from the Department concerned, elected by the Academic Faculty Members of the Department.
  - i. In practice, among the departmental electorate there will be both declared and undeclared candidates for the Chair's position at the time of the election. Declared candidates may not be elected as departmental representatives; however, these Academic Faculty Members should be included in the electorate. The actual election could be conducted by one of the following methods:
    - The Dean of the Faculty or designee convenes and chairs a special departmental meeting.
    - The Dean arranges for a secret ballot.
    - The Dean approves election procedures proposed by the Department.
  - ~~ii.~~ No Academic Faculty member of the Department in question should be excluded from voting in this election, because of a part-time appointment.
  - ~~iii.~~ ~~ii.~~ Academic Faculty Members cannot serve as representatives on selection and review committees for Department Chairs if they are on leave during the time the committee will

meet.

- c. One (1) academic faculty member, normally not a member of the Faculty of which the Department concerned is a part, will be selected from a panel which will consist of fifteen (15) members from Categories A1.1, A1.6, or their counterparts in A1.5 and A1.7, who shall be elected by GFC.
  - Membership on the panel shall be for three years staggered. (The first such panel under this clause shall consist of five members with a one-year term, five members with a two-year term, and five members with a three-year term.)
  - The Chair of a Committee shall notify the Office of the Provost when a Selection Committee is being formed and the Office of the Provost shall then notify the Chair of the Committee which member of the panel will be serving on the Committee.
  - The Office of the Provost will designate the member of the panel for a particular Committee after consultation with the Chair of the GFC Nominating Committee.  
Committee members designated by the Provost should, to the extent possible, take into account the need for the Committee to be inclusive of persons historically under-represented.
  - Determination of the staff member to serve on a particular Committee shall be by rotation with the proviso that a member who has a conflict of interest may decline to serve on a particular Committee.
  - If a Committee has not completed its activities when the term of a GFC-elected representative on the panel finishes, that individual shall continue to be the GFC representative on that Committee until the selection procedure is complete.
- d. One (1) full-time member of the support staff (Category S1.0 and S2.0) from the Department concerned
  - i. The support staff Committee member shall be elected by the full-time support staff (Category S1.0 and S2.0) in that Department.
  - ii. The Dean's Office shall be responsible for directing the election of any support staff member serving on the Committee.
- e. Undergraduate student
  - i. All Departments that enroll undergraduate students must include one undergraduate student on their Committees, as selected by the appropriate Department Student Association using whatever method the Association deems suitable.
  - ii. If the Department Student Association does not exist, then the appropriate Faculty Student Association will be responsible for selecting the undergraduate student from the Department.
  - iii. Once selected, the name and contact information of the student representative must be forwarded by the appropriate Department or Faculty Student Association to the Department Office, and the Students' Union.
  - iv. If the Department Student Association (or the student Faculty Association) is unable to find an undergraduate student, the Students' Union will be responsible for the selection of the undergraduate representative from the Department.
- f. Graduate student
  - i. All Departments that enroll graduate students must include a graduate student on their Committee, as selected by the Department Graduate Students' Association by whatever means the Association deems suitable.
  - ii. Once a student is selected, the name and contact information of that student must be forwarded to the Department Office and Graduate Students' Association.
  - iii. If the Department Graduate Student Association is unable to find a graduate student, or if

there is no Department Graduate Students' Association, then the Graduate Students' Association will be responsible for the selection of the graduate student representative from the Department.

- iv. If the Department enrolls fewer than ten (10) graduate students, the department may request permission to waive graduate student representation from the Provost.
- g. For members designated by a Dean or by the Provost and Vice-President (Academic), such designations should, to the extent possible, seek to ensure that the committee composition reflects or exceeds the demographic diversity of the discipline, field, and Department in, inclusion of persons historically under-represented.
- h. The Provost may approve exceptions to this procedure and may consult with the GFC Executive.

#### Special Cases for General Composition of Selection Committee

##### a. Faculty of Medicine and Dentistry

Instead of the three (3) Academic Faculty Members described in 2.a.iv., the Committees in the Faculty of Medicine and Dentistry will normally consists of the following voting members:

- i. Three (3) full-time Academic Staff members (A1.0) or full-time Management and Professional Staff (Excluded) (D1.2) from the Department. At least two (2) must be from the Academic Faculty Members (A1.1 and/or A1.6). Of note, part-time Academic Faculty Members from the Department (members from categories A1.5 and A1.7) are eligible to elect to, but not sit on Committees.
- ii. In addition, Committees in the Faculty of Medicine and Dentistry will normally include the following:
  - a. In Clinical Departments: Two (2) Academic Colleagues from the categories of Special "Continuing" (C1.1) and/or Clinical Academic Colleague (C1.2) from the department elected by these groups.
  - b. In Clinical Departments: One Resident, if the Department has five (5) or more residents elected by the residents in the Department.
  - c. In departments with ten (10) or more Academic Teaching Staff Career Status, Academic Teaching Staff Term 12, and/or Trust/Research Academic Staff (A3.1): up to two (2) full-time academic staff members elected from and by these groups. For Departments with less than ten (10) members in these categories, one (1) member elected from and by these groups.
  - d. One (1) member of the Faculty Learning Committee (FLC) as selected by the Chair of FLC.
  - e. The Alberta Health Services Edmonton Zone Medical Director unless the Dean, in discussion with the Edmonton Zone Medical Director, accepts a delegate. If a concurrent selection process is occurring as per 3.b.ii, below, this position will remain vacant.
- b. Faculty of Engineering
  - i. Only Selection Committees are formed at the end of an incumbent's term.
  - ii. The term of a Department Chair shall be five years and at the end of that term the office is considered to be vacant.
  - iii. There shall be the addition of one (1) Academic Faculty member elected by Engineering Faculty Council from another Department within the Faculty.
  - iv. There shall be one (1) undergraduate student member, chosen by and from the undergraduate students of the Department concerned, and one (1) graduate student member, chosen by and from the graduate students of the Department concerned.
  - v. The Provost shall not be a member.

- c. Department of Psychology (Faculty of Arts)
  - i. Both the Dean of Arts and the Dean of Science shall serve on the Selection Committee for the Chair of the Department of Psychology, with the Dean of Arts in the Chair.
- d. Small Departments
  - i. For Departments with fewer than six (6) Academic Faculty Members, two (2) of the three (3) Committee members referred to in 2(b) above will be replaced by two (2) Academic Faculty Members elected by the Academic Faculty Members elected by the Faculty Council concerned.
  - ii. For Departments with six (6) to ten (10) Academic Faculty Members, inclusive, one (1) of the three (3) committee members referred to in 2(b) above will be replaced by one (1) Academic Faculty member elected by the Academic Faculty Members of the Faculty Council concerned.
  - iii. The slate of candidates put forward to Faculty Council should, to the extent possible, be considerate of relevant diversity-related issues. Specifically, the pool should be inclusive of persons historically under-represented relative to the discipline, field, and Department.
- e. Department of Biomedical Engineering
  - i. The Provost or designee shall be a member.
  - ii. The Committee shall include the Dean of the Faculty of Medicine and Dentistry and the Dean of the Faculty of Engineering or their designees.
  - iii. The Committee shall be chaired by the Dean or designee of one Faculty decided by mutual agreement between the Deans of the Faculties, or in the event of no agreement, by the Provost or designee.
  - iv. The selection of Academic Faculty Members from the Department must be such that at least one Full-time Member shall be from the Faculty of Medicine and Dentistry and one from the Faculty of Engineering or, if this is not possible, from Part-time or Cross Members.
  - v. The selection of Members shall, to the extent possible, seek to ensure that the Committee composition reflects or exceeds the demographic diversity of the University, inclusive of persons historically under-represented.

#### Changes in Committee Composition

- a. In the event that the majority of the statutory members of a Committee, or the Dean, is of the opinion that divisions within the Department are such that the normal composition of the Committee is inappropriate, the statutory members, or the Dean, shall recommend to the Provost that a Committee with a different composition be established. The Provost is authorized to establish a revised composition of the Committee, bearing in mind the principles underlying the normal composition.

#### Responsibilities of Committee members

- a. The Committee Chair is responsible for
  - making Committee members aware of their obligations under applicable University policy, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time and documenting and confirming these efforts
- b. providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

- c. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of bias awareness and discrimination the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.

#### Conflict of Interest

- a. Notwithstanding the above, an incumbent shall not be eligible to vote in the election of Committee members.
- b. In no instance shall the membership of a selection committee include
  - a current candidate for the position of Chair
  - the outgoing Chair
  - any person with an apparent conflict of interest as determined by the Provost.
- c. All Committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.
- d. The Provost in consultation with Faculty Relations shall determine whether a conflict can be managed.
- e. Where a conflict can be managed, the management of it shall be approved by the Provost in consultation with Faculty Relations.
- f. Where a conflict cannot be managed to the satisfaction of the Provost, a Committee member may be dismissed and replaced through the selection processes outlined above.

#### Quorum

- a. No more than one (1) member of a Committee can be absent from any meeting at which a final decision is made.
- b. To participate in a final decision and ensure fairness, Committee members must have been present at all sessions where all candidates were considered.

### 3. CHAIR SELECTION PROCEDURES

#### 1. General Selection Procedure

##### *Soliciting applicants*

- a. The Committee shall invite suggestions concerning possible candidates from the members of the Department concerned and encourage the nomination of persons historically under-represented at the University and the Department.
- b. In addition to accepting applications from qualified candidates a Committee may actively solicit applications from apparently qualified persons including persons historically under-represented at the University.
- ~~b.c.~~ The Committee should ensure, to the extent possible, that the applicant pool reflects and exceeds the demographic diversity of the University and field inclusive of persons historically under-represented and may continue the solicitation of applications and extend any applicable deadline for submitting applications for this purpose.

##### *Advertisement*

- d. All vacancies must be advertised within the University.
- e. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website.
- f. If a vacancy could, potentially, be filled by an appointee from outside the University, then the vacancy must be advertised in accordance with the *Academic Staff Posting*

Procedure, including media accessed by persons historically under-represented at the University.

*Evaluation of qualifications and selection of candidate*

- ~~e.g.~~ The Committee may consult with the incumbent Chair and/or other sources in the Department where it requires additional information concerning the duties, responsibilities, authorities, *et cetera* of the Department Chair position in question.
- h. The Committee will establish the required qualifications, skills, abilities, competencies and credentials for the Chair position in an objective, equitable and inclusive way.
- i. The Committee should have regard to inclusive and explicit criteria for the Chair position in reviewing and evaluating applications.
- j. The Committee Chair should
- Ensure the Committee documents practices for ensuring the equitable assessment of candidates
  - Employs equitable and inclusive indicators for determining the best-qualified candidate
  - Ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.
- k. All candidates selected for an interview should be provided with a common set of instructions, including relevant expectations, protocols, and evaluation criteria.
- l. The Committee will fulfil the university's duty to accommodate by giving candidates the opportunity to ask for reasonable accommodation during the application and interview process.
- m. Where the candidate is from outside the University, the Committee shall serve as both the selection committee in relation to the administrative appointment and the advisory selection committee in relation to the academic staff appointment.
- ~~d.n.~~ If the incumbent is a candidate, past performance must be considered by the Committee.
- o. The Committee shall explicitly address any career path choices or interruptions as they might affect the assessment of the candidate.
- p. At each stage of the selection process the Committee members should be allocated sufficient time to consider all materials, information, and candidates in an equitable manner.
- q. The Committee should ensure, to the extent possible, that the pool of shortlisted candidates reflects or exceeds the demographic diversity of the University. Specifically, the pool should be inclusive of persons historically under-represented relative to the discipline, field and the pool of Department Chairs.
- r. Where candidates are determined to be similarly qualified for the Chair position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.
- ~~e.s.~~ When the Committee has made its decision, the Dean of the Faculty has the authority to accept or reject the committee's recommendation. If the Dean accepts the recommendation, the Dean offers the appointment to the candidate and, following the candidate's acceptance, advises the Provost. The Provost formally advises the candidate on behalf of the University.
- ~~f.t.~~ If the Dean of the Faculty doesn't accept the Committee's recommendation, the Dean will explain their reasons to the Committee and the Committee will then discuss whether another candidate should go forward, or whether to terminate the search and begin again.

## 2. Special Cases for Selection Procedures

- a. Engineering Chairs
  - i. The Committee shall recommend one (1) candidate as the proposed Chair.
  - ii. The full-time academic staff of the Department concerned shall, by a simple majority vote, indicate acceptance or rejection of the Committee's recommendation. The ballot paper shall read:
 

I accept the Committee's recommendation for Chair.

I reject the Committee's recommendation for Chair.
  - iii. In the event of rejection, the committee shall recommend another candidate.
  - iv. The vote, by secret ballot, shall be conducted by the Committee in accordance with the procedures laid down by the Faculty of Engineering.
  - v. The Dean, as Chair of the Committee, shall make the vote known to the successful candidate, including abstentions.
- b. Faculty of Medicine and Dentistry
  - i. For Clinical Departments where it is possible that the Department Chair and the Zone Clinical Department Head (Alberta Health Services (AHS)) could be the same individual, a concurrent committee (led by AHS) will be formed, that will meet, shortlist, and interview jointly with the University's selection committee.
  - ii. The final vote will be a preferential ballot with University and AHS votes counted separately. The total University vote represents the committee's recommendation for Department Chair to the Dean. The total AHS vote represents the AHS committee's recommendation for Zone Clinical Department Head to the Zone Medical Director. The Dean and the Zone Medical Director will then discuss whether or not to offer both roles concurrently to one candidate.

## DEFINITIONS

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

### **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. Refer to Recruitment Policy (Appendix A and Appendix B) for definitions of Staff.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the *University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*

## FORMS

There are no forms for this Procedure. [[▲ Top](#)]

## RELATED LINKS

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

[Academic Staff Posting and Advertising Procedure](#)

[Appointment of Faculty Procedure \(UAPPOL\)](#)

[Department Chairs Selection Procedure \(Appendix B\) Terms and Conditions for Department Chairs \(UAPPOL\)](#)

[Recruitment Policy \(Appendix A\) \*Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff\* \(UAPPOL\)](#)

[Recruitment Policy \(Appendix B\) \*Definition and Categories of Support Staff\* \(UAPPOL\)](#)

[Selection of Department Chairs Procedure \(Appendix A\): Roles and Responsibilities \(UAPPOL\)](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

Approval Date: December 11, 2009

Most Recent Editorial Date: July 27, 2016

Parent Policy: Recruitment Policy

# Department Chairs Review Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: General Faculties Council Executive Committee

Scope: Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories).

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified deans and aspires to achieve an equitable, diverse and inclusive community of senior administrators and employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Faculty Dean review process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues..

With respect to the procedures for the review of Department Chairs, the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine editorial nature. For matters of a substantive nature, the GFC Executive Committee shall recommend to the Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

## Purpose

To detail the procedure for the review of Department Chairs.

## PROCEDURE

In accordance with the Department Chair Selection Procedure, review procedures will be used instead of selection procedures in the following instances: first, at the end of a term; second, when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be permitted. For example, a Faculty may propose to the Dean for approval the use of selection or review procedures [in some cases and review in others]. As well, alternate procedures have been adopted by Faculty Councils and approved by GFC.

### 1. INSTIGATION OF REVIEWS

Review may come about in three (3) ways:

a. In anticipation of an end of term if provided for in the terms of appointment. (Such a review should serve two purposes. The first is the traditional one of determining if an appointment is to be renewed. The

second is to provide an opportunity for an incumbent to obtain an objective and helpful assessment, which may not be available by other means.)

The term of office for a Department Chair shall not exceed five (5) years.

In accordance with the Department Chair Selection Procedure, review procedures will only be used instead of selection procedures at the end of a term when a Faculty Council has adopted regulations that review procedures will be used in that Faculty and such regulations have been approved by GFC. A certain amount of flexibility may also be permitted. For example, a Faculty may propose using selection procedures in some cases and review in others. Alternate procedures have been adopted by Faculty Councils and approved by GFC.

The process of review in anticipation of the end of a term is initiated by the Dean of the Faculty concerned. The process must be initiated at least six (6) months prior to the end of the incumbent's term. If a review is carried out, the decision must be reached no later than two months after the formation of the committee. The Dean shall be responsible for ensuring that recruitment and decision-making processes within their respective areas of accountability are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

b. During the term at the joint initiative of the Provost and Vice-President (Academic) and Dean of the Faculty.

c. During the term by petition, as follows:

- i. Petitions for review of Department Chairs shall be submitted to the Dean.
- ii. Where the petition is signed by a majority of Academic Faculty Members in the Department, the Dean must establish the appropriate review committee.
- iii. Where the petition is not signed by a majority of Academic Faculty Members in the Department, the Dean shall decide in conjunction with the Provost and Vice-President (Academic) whether or not a review committee shall be established.

## 2. CONTINUING APPOINTMENTS

In the case of those Department Chairs whose appointments were made prior to the development of these procedures and whose appointments as Department Chairs are on a continuous basis, performance review procedures will be used and such reviews will be carried out every five (5) years.

## 3. PERFORMANCE EVALUATIONS

The specifics of evaluating performance of an incumbent Chair with a view to reappointment fall within the jurisdiction of the review or selection committee. The review should be largely based on an evaluation of the individual's administrative performance. However, it should also be based upon the belief that teaching and research work are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Chair remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Department or Faculty. The appointment agreement should stipulate the workload and performance expectations in teaching and research for the term, with particular attention to career advancement in Associate Professors.

## 4. COMPOSITION OF REVIEW COMMITTEES

a. All reviews shall be carried out by a duly constituted review committee. Normally, the composition of the Committee, the quorum and related matters shall be the same as for selection committees.

b. Once members have been elected, the Provost and Vice-President (Academic) may name up to two additional full-time Academic Faculty Members to the Committee to ensure broad representation and demographic diversity across the Faculty. The Provost shall consult with the Chair or the Vice-chair of the GFC Nominating Committee. Overall, the Committee composition should be representative of the demographic diversity of the University with respect to persons historically under-represented.

c. Notwithstanding the provisions of 4a (above), in the case of the review of a Department Chair, the incumbent shall not be eligible to vote in the election of departmental representatives to serve on the Committee.

## 5. REVIEW PROCEDURES

### a. General

- i. The review Committee is advisory to the Dean and shall obtain information about the effectiveness of the incumbent with respect to the expectations and directions at the time of appointment, and the desirability of reappointment or continuation. The Dean of the Faculty has the authority to accept or reject the Committee's recommendation.
- ii. The Committee Chair should
  - a. ensure the Committee documents practices for ensuring the equitable assessment of the incumbent
  - b. ensure that Committee evaluations are supported by evidence and that the incumbent's strengths and weaknesses are evaluated equitably and consistently.
- iii. As a minimum, the Committee shall solicit submissions from the staff of the Department or Faculty, and the Dean in this regard.
- iv. All submissions to the Committee shall be in writing and signed; the review committee shall make every effort to ensure confidentiality.
- v. The relevancy of all materials submitted shall be determined by the review Committee in consideration of the original job advertisement and expectations at the time of appointment.
- vi. After the relevancy of all material submitted has been determined by the review Committee, the Committee Chair shall then provide in writing to the incumbent a summary of that material. Comments contained in this summary shall not be attributed to any person(s). It is not acceptable to use redacted versions of the original submissions.
- vii. The incumbent shall be invited to submit an oral or written presentation, or both, concerning their performance.
- viii. After sufficient discussion, the Chair of the Committee polls the committee to reach a "preliminary decision" in the case. The Dean of the Faculty has the authority to accept or reject the Committee's recommendation.
- ix. When the Dean accepts a recommendation to offer an additional term to the incumbent (or to continue in office in the case of a review under 1.b. or 1.c.), or rejects a recommendation not to offer an additional term to the incumbent, the Dean offers the reappointment to the incumbent and, following the incumbent's acceptance, advises the Provost. The Provost formally advises the candidate on behalf of the University.
- x. If the Dean of the Faculty does not accept the Committee's recommendation to reappoint, the Dean will explain their reasons to the Committee and to the

incumbent. A selection committee will then be established.

x-xi. If the Dean accepts a recommendation not to reappoint, the Dean will inform the incumbent and the Provost. A selection committee will then be established.

## DEFINITIONS

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**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

**Approval Date:**  
**May 13, 2011 Effective Date: July 1, 2011**

**Parent Policy: Recruitment Policy**

# Academic Selection Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty Relations Approver:  
General Faculties Council & Board of Governors

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

## Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its academic staff selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

## Purpose

The purpose of this procedure is to enable open, transparent, and equitable processes in the selection of all employees defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* and address matters such as:

- Advertisements and applications
- Matters related to advisory selection committees and other persons involved in the appointments
- The procedures for advisory selection committees, and
- The composition of advisory selection committees.-

## PROCEDURE

### 1. APPLICATIONS

a. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way so as to attract applications from persons historically under-represented at the University.

b. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

c. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant’s eligibility and suitability.

d. Any costs associated with the collection of required information are the responsibility of the applicant.

e. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified. The Selection Panel must consider whether all

reasonable efforts have been made to attract applications from persons historically under-represented and empower the panel to extend the deadline for submitting and receiving applications.

## 2. ADVISORY SELECTION COMMITTEES

- a. Advisory Selection Committees are required for the selection of Academic staff in continuing appointments, subject to the exceptions as outlined below. The role of all selection committees is to advise the authorized appointing officer on selection.
  - b. The Committee should consider whether its overall composition includes persons historically under-represented or whether additional panel members are needed to address its diversity.
  - c. Committee members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity concepts of bias awareness as well as the obligations under applicable University policies, such as the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
  - ~~e.~~ All Committee members shall complete conflict of interest declarations, and any identified **conflict** of interest must be managed in accord with University's Conflict Policy and its associated procedures.
  - d. The Committee chair should
    - ensure the Committee documents practices for ensuring the equitable assessment of candidates
    - employs equitable and inclusive indicators for determining the best-qualified candidate
    - ensure that Committee evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.
- a. Academic Faculty Members
- i. Academic Faculty Members will be appointed by the Dean who is the authorized appointing officer on the advice of an Advisory Selection Committee. Exceptions to this procedure are outlined in 2.a (iv).
  - ii. Each academic department will have Advisory Selection Committee(s) for the appointment of Academic Faculty Members. The duty of an Advisory Selection Committee is to provide advice to the Dean.
  - iii. Advisory Selection Committees cannot be waived for appointments with tenure.
  - iv. Advisory Selection Committees may be waived for tenure track appointments:
    1. for Associate Professors on probation by the Provost on the recommendation of the Dean; and
    2. for Assistant Professors by the Dean.
  - v. If an Academic Faculty member is being selected primarily for a position outside a Faculty (e.g. an administrative appointment), the Academic Faculty member must have a joint appointment with a Faculty for the purposes of making decisions regarding tenure and promotion. The Advisory Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment to the Faculty. When a Dean accepts a joint appointment to their Faculty, the Advisory

Selection Committee can continue with the administrative appointment selection procedure.

vi. The Dean shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

#### b. LIBRARIAN

i. Librarians will be appointed by the Vice Provost and Chief Librarian who is the authorized appointing officer. The Vice-Provost and Chief Librarian shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

ii. An Advisory Selection Committee must be used in the appointment of all Librarians hired under the Board/AASUA Collective Agreement, Schedule C for Librarians.

iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-Provost and Chief Librarian on the selection of a Librarian.

iv. Upon the request of the Vice-Provost and Chief Librarian and following consultation with the AASUA, the Provost and Vice-President (Academic) may waive the use of an Advisory Selection Committee.

#### c. FACULTY SERVICE OFFICER

i. Faculty Service Officers will be appointed by the Dean, who is the authorized appointing officer on the advice of the Advisory Selection Committee. The Dean shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

ii. Unless otherwise determined by the Faculty Council, each Faculty will have an Advisory Selection Committee for the appointment of Faculty Service Officers.

iii. The duty of the Advisory Selection Committee is to provide recommendations to the Dean on the appointment of Faculty Service Officers.

iv. If a Faculty Service Officer is being selected for an administrative position outside a Faculty, the Faculty Service Officer must have a joint appointment with a Faculty for the purposes of making decisions regarding promotion and the awarding of a continuing appointment. The Selection Committee for the administrative position will provide the Faculty Advisory Selection Committee with the qualifications of the candidate. The Faculty Advisory Selection Committee will advise the Dean on the appointment of the Faculty Service Officer to a position within the Faculty. When a Dean accepts the recommendation, the selection committee can continue with the administrative appointment selection procedure.

#### d. ADMINISTRATIVE AND PROFESSIONAL OFFICERS

- i. Administrative and Professional Officers will be appointed by the appropriate Vice-President who is the authorized appointing officer on the advice of an Advisory Selection Committee. The appropriate Vice-President will be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.
- ii. An Advisory Selection Committee must be used in the appointment of all Administrative Professional Officers hired under the Board/AASUA Collective Agreement Schedule F for Administrative Professional Officers.
- iii. The duty of the Advisory Selection Committee is to provide advice to the Vice-President on the appointment of Administrative Professional Officers.
- iv. The use of an Advisory Selection Committee may be waived by the Provost upon the request of the Vice-President.
- v. Qualified candidates for an Administrative Professional Officer position currently employed by the University should be given full consideration for vacant positions.

#### e. TEMPORARY APPOINTMENTS

- i. Selection procedures for the appointment of Academic Staff in temporary appointments will be at the discretion of the authorized appointing officer, as defined in the applicable Schedule of the Board/AASUA Collective Agreement. It is highly encouraged that the appointing officer uses an Advisory Selection Committee to provide advice on the appointment. The authorized appointing officer shall be responsible for ensuring that recruitment and decision-making processes are equitable, transparent, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

### 3. PROCEDURES FOLLOWED BY ADVISORY SELECTION COMMITTEES

- a. Internal procedures for Advisory Selection Committees for Academic Faculty Members and Faculty Service Officers will be established by the appropriate Faculty Council.
- b. In assessing candidates for Academic Faculty member and Faculty Service Officer appointments, Deans will direct all Advisory Selection Committees to establish methods to examine and assess a candidate's teaching experience and teaching potential appropriate to the duties of the position and the specific requirements of the discipline.
- c. Internal procedures for Advisory Selection Committees for Librarians will be established by the Library Council.
- d. Internal procedures for Advisory Selection Committees for APOs and, if used, for Academic Staff in Temporary Appointments, will be established by the authorized appointing officer or delegate.
- e. Internal procedures established under this Procedure should in general require that advisory selection committees adopt, document, and base evaluations upon explicit criteria that are consistent with the advertised position requirements. Committees should also in all cases explicitly address any career path pathways or interruptions as they might affect assessment of the candidates.

#### 4. COMPOSITION OF ADVISORY SELECTION COMMITTEES

##### A. ACADEMIC FACULTY MEMBERS and FACULTY SERVICE OFFICERS

The composition of the Advisory Selection Committee will be as follows unless changed by the Faculty Council. If the Faculty changes the composition, the Dean must inform the Provost in writing.

##### a. Composition of Advisory Selection Committee for Academic Faculty appointments to departmentalized Faculties.

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean), determined in consultation with the Department Chair;
- ii. The Department Chair or delegate;
- iii. One or more full-time Academic Faculty Members from within the Department (including joint appointments) who are to be selected according to procedures approved by the Faculty Council;
- iv. One or more full-time Academic Faculty Members from outside the Department who are selected by and according to procedures approved by the Faculty Council; and
- v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a “relevant professional body”. The Chair of the Advisory Selection Committee will be responsible for informing the Provost of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

##### b. Composition of Advisory Selection Committee for Academic Faculty appointments to non-departmentalized Faculties

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean, or other delegate of the Dean);
- ii. The head of the Appropriate Division or Unit of the Faculty, where appropriate;
- iii. One or more full-time Academic Faculty Members from within the Faculty (including joint appointments) selected by and according to the procedures approved by the Faculty Council;
- iv. One or two full-time Academic Faculty Members from outside of the Faculty selected by and according to the procedures approved by the Faculty Council; and
- v. One representative of the relevant professional body selected by the other members of the Advisory Selection Committee where the members consider such representation appropriate. The Advisory Selection Committee will be responsible for determining what is meant by a “relevant professional body”. The Chair of the Advisory Selection Committee will be responsible for informing the Provost, of the name and affiliation of any representative added to the Advisory Selection Committee under this section.

##### c. Composition of the Advisory Selection Committee for the appointment of Named Research/Teaching Chairs.

Prior to the commencement of the selection process, the Faculty will ensure that the Provost has been advised (in writing) of any changes in the composition of the Advisory Selection Committee.

d. Composition of the Advisory Selection Committee for the appointment of Faculty Service Officers

- i. The Advisory Selection Committee Chair (either the Dean, Vice-Dean, or an Associate Dean or other delegate of the Dean);
- ii. The Department Chair, if any; and
- iii. Such other members as the Dean and Department Chair, if any, may consider necessary.

B. LIBRARIANS

- a. The Administrative Librarian responsible for human resources, as Chair;
- b. The supervisor;
- c. One staff member from the unit involved selected by the Chair;
- d. One staff member of the Library, selected according to procedures approved by the Library Council; and
- e. Other persons as deemed necessary by the Vice-Provost and Chief Librarian following consultation with the Committee.

C. ADMINISTRATIVE PROFESSIONAL OFFICERS

- a. The composition of the Advisory Selection Committee will be at the discretion of the authorized appointing officer or delegate, and will normally consist of at least three individuals.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲ Top]

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy* (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientation<sub>s</sub> or political beliefs.

**University Employment Equity Statement** “The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientation<sub>s</sub> or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply.”

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

**Student** “Student” means any student enrolled at the University of Alberta, either full-time or part-time. The term “student” may be preceded by “undergraduate” or “graduate” or “full-time” for clarification.

**Person** “Person” means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

**Faculty Member** “Faculty Member” means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement, Schedule A – Academic Faculty Members.

**Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary** See *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1)*

**Joint Appointment** Academic Staff under Categories A, B or C of the Recruitment Policy (Appendix A) *Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who are appointed to more than one University department with a designated home department within the University.

## FORMS

Consent for Collection and Verification of Information form

## RELATED LINKS

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

Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

# Academic Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services and Faculty & Staff Relations

Approver: Provost and Vice-President (Academic) & Vice-President (Finance and Administration)

Scope: Compliance with this university policy/procedure extends to all Academic Staff, Administrators and Colleagues; as outlined and defined in Recruitment Policy (Appendix A)

## Overview

The University of Alberta (“University”) is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity (“EDI Strategic Plan”). By adopting EDI principles and practices into its Academic Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University’s employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds.

## Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies for employees defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff*.

## PROCEDURE

### GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING OF JOB VACANCIES

1. Continuing academic vacancies (Faculty, Administrative Professional Officer, Faculty Service Officer, and Librarian) will be posted on the University of Alberta Careers website for a minimum of five business days.
2. Subject to the provisions of the Board/AASUA Collective Agreement for Academic Staff appointed to temporary appointments and excluded appointment handbooks, it is recommended that positions with an appointment term greater than one year be posted.
3. The University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. The **University Employment Equity Statement** should be included on all postings and advertisements.

4. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is in French, it will clearly state the requirement for oral and written competency in English.

5. Advertisements will appear simultaneously or later than postings on University of Alberta Careers website, and should appear in media accessed by persons from historically under-represented groups.

6. Postings and advertisements for Academic Faculty Members will include the Canadian preference proviso statement unless administrative duties comprise 51% or greater of the position.

7. Postings will articulate the University's commitment to the Duty to Accommodate during the recruitment process and invite requests by applicants for reasonable accommodations.

#### WAIVERS AND EXCEPTIONS TO POSTING

8. In exceptional circumstances, the posting requirements for continuing academic positions may be waived with the prior approval of the Provost. The Provost and Vice-President (Academic) will advise the AASUA of the decision and report all waivers to the General Faculties Council annually. Requests for waiver of posting should be submitted to Human Resource Services.

9. Posting is not required when an incumbent's position is reclassified or converted from Support Staff to Administrative Professional Officer (unless a **foreign national** holds the position).

#### RULES RELATED TO FOREIGN NATIONALS

10. As per the federal government immigration advertising requirements, posting and advertising cannot be waived if foreign national applicants are to be considered.

a. Advertisements must appear in designated Canadian national media.

b. Any position in which teaching comprises 50% or more of the position must be advertised for a minimum of 30 days in the Canadian Association of University Teachers Bulletin and University Affairs (print or website) before foreign national applicants can be considered within the competition.

c. International advertisements must appear simultaneously or later than Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

#### UNIVERSITY EMPLOYMENT EQUITY STATEMENT

11. All postings and advertisements will include the University Employment Equity Hiring Statement.

12. In cross appointments, the name of the external organization or institution may be included in the University Equity Statement or the equity statement of the external organization or institution may appear in conjunction with the University Equity Statement.

#### INITIATING THE PROCESS

13. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and templates for University of Alberta advertisements. The consultant should demonstrate expertise in principles of equity, diversity and inclusivity and same should be reflected in their own organization.

14. Hiring units initiate the posting and advertising process to create a new competition.

15. All postings and advertisements will establish the required qualifications, skills, abilities, competencies and credentials required in an objective, equitable and inclusive way and should include:

- a. Position title and appointment category
- b. Department/Unit
- c. Major responsibilities and accountabilities
- d. Rank (for Academic Faculty Member, FSO and Librarian positions)
- e. Required academic qualifications, knowledge, skills and abilities
- f. Term of employment (if applicable)
- g. Deadline date for applications or date when the application review process will begin
- h. Contact information

#### ROLE OF HUMAN RESOURCE SERVICES

16. Human Resource Services will review and approve all postings and advertisements to:

- a. Ensure the content is accurate and the information and advertising complies with federal government immigration requirements (where applicable)
- b. Confirm rank and salary range (if applicable)
- c. Ensure compliance with the University's posting and advertising standards and templates

#### ADVERTISING

17. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

18. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

19. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of qualified prospective applicants.

#### DEFINITIONS

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**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning

opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff or Recruitment Policy (Appendix B) Definition and Categories of Support Staff.*

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

**Student** "Student" means any student enrolled at the University of Alberta, either full-time or part-time. The term "student" may be preceded by "undergraduate" or "graduate" or "full-time" for clarification.

**Person** "Person" means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

**Faculty Member** "Faculty Member" means a full-time faculty member (from Category A1.1 or A1.6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement, Schedule A – Academic Faculty Members.

**Faculty, Librarians, Faculty Service Officers, Administrative Professional Officers, and Temporary** See *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff (categories A1.0 to A3.4 and D1)*

**Postings** An internal communication designed for the recruitment of staff placed on the University of Alberta Careers website (careers.ualberta.ca).

**Advertisements** An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

**Proviso Statement** "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

**Foreign National** Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

**Designated Canadian National Media** Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

**Cross Appointments** Individuals appointed from an external organization or institution to work with the University on a full or part-time basis or an individual within the University appointed to an external organization or institution to work on a full or part-time basis. This may also refer to staff under categories A, B, or C under the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold an unpaid appointment in another department on campus.

**Search Consultant** A member of an external agency contracted by the University to undertake recruitment.

**Recruitment Competition** A process where qualified candidates are interviewed for a vacant position.

**Bona Fide Occupational Requirement** An objective criteria related to the skills and qualifications required for the vacant position.

## FORMS

There are no forms for this Procedure. [[▲ Top](#)]

## RELATED LINKS

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

[University of Alberta Careers \(University of Alberta\)](#)

[Recruitment Policy \(Appendix A\) \*Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff\*](#)

[Recruitment Policy \(Appendix B\) \*Definition and Categories of Support Staff \(UAPPOL\)\*](#)

[Equity, Diversity, and Inclusion: Best Practices in Faculty Recruitment and Hiring](#)

Approval Date: May 13, 2011 Effective Date: July 1, 2011

Parent Policy: Recruitment Policy

# Support Staff Selection Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Board of Governors

Scope: Compliance with this university policy/procedure extends to Support Staff as outlined and defined in Recruitment Policy (Appendix B)

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its support staff selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds.

## Purpose

The purpose of this procedure is to address matters related to the process for support staff selection such as

- advertisements and applications
- references
- selection panel
- interviews, and
- other selection tools.

The Direct Supervisor of the position shall be responsible for ensuring that recruitment and decision-making processes are equitable, appropriately documented, and contribute to an equitable, diverse and inclusive community of employees.

## PROCEDURE

### 1.ADVVERTISEMENT AND APPLICATIONS

a. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way so as to attract applications from persons historically under-represented at the University.

b. Personal information is collected in accordance with the provisions of the Freedom of Information and Protection of Privacy Act (FOIPP).

c. Verification of qualifications, interviews and reference checks will include only those inquiries necessary to determine an applicant's eligibility and suitability for the advertised position.

d. Any costs associated with the collection of required information are the responsibility of the applicant.

e. The Selection Panel must consider whether all reasonable efforts have been made to attract applications from persons historically under-represented and empower the panel to extend the deadline for submitting and receiving applications.

## 2. REFERENCES

- a. Candidates must complete and sign a Consent for Collection and Verification of Information Form before references can be contacted or information verified.
- b. Reference checks and verification of credentials should be completed before an offer of employment is made.

## 3. SELECTION PANEL

- a. A panel should include representatives who have expertise on the qualifications or are a stakeholder in the vacant position. Representatives should have an understanding of the skill set required to ensure the candidate has the competencies to successfully fill the position.
- b. It is recommended that each recruitment competition have a selection panel as part of the selection and appointment process. Recommended composition is as follows:
  - i. Direct supervisor of the position;
  - ii. A technical expert, if appropriate;
  - iii. Department Human Resources contact; and
  - iv. Any other appropriate person.
- c. Overall, the panel should consider whether its own composition includes persons historically under-represented relative to the discipline, field, and/or employment or job category of focus and whether additional panel members are needed to address its diversity.
- d. Panel members are responsible for familiarizing themselves with the principles of equity, diversity and inclusivity, the concepts of bias awareness and discrimination as well as the obligations under applicable University policies, such as the *Discrimination, Harassment and Duty to Accommodate Policy*, the University's *Employment Equity Statement* and the EDI Strategic Plan all as may be amended from time to time.
- e. Panel members shall complete conflict of interest declarations, and any identified **conflict of interest** must be managed in accord with University's *Conflict Policy* and its associated procedures.
- f. The Panel chair should
  - ensure the Panel documents practices for ensuring the equitable assessment of candidates
  - employs equitable and inclusive indicators for determining the best-qualified candidate
  - ensure that Panel evaluations are supported by evidence and that each candidate's strengths and weaknesses are evaluated equitably and consistently.

## 4. INTERVIEWS

- a. All short list criteria for the position must be based on relevant criteria that can meet **the bona fide occupational requirement** test. Evaluation of applicants against criteria should be explicit and documented.

- b. The primary objective of the interview process is to provide short listed candidates an equal opportunity to present their knowledge, skills and qualifications.
- c. To ensure fairness short listed candidates for a position will be interviewed using the same interview plan and information.
- d. Interview questions must be job-related, focusing on the knowledge, skills and abilities of the candidate as they relate to the position.

## 5. ADDITIONAL SELECTION TOOLS

Other methods such as testing, job related exercises, or second interviews may also be used.

## DEFINITIONS

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**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

**Employee(s)** A person employed by the University and defined under *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* or *Recruitment Policy (Appendix B) Definition and Categories of Support Staff*.

**Persons historically under-represented** Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.

**Senior Administrators** President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.

**Protected Grounds** Refers to those grounds set out and defined in the *Alberta Human Rights Act* and in the University's *Discrimination, Harassment and Duty to Accommodate Policy (UAPPOL)* which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.

**University Employment Equity Statement** "The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."

**Conflict** Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy

**Student** "Student" means any student enrolled at the University of Alberta, either full-time or part-time. The term "student" may be preceded by "undergraduate" or "graduate" or "full-time" for clarification.

**Person** "Person" means any individual selected or elected by the particular group or body referred to and may include faculty members, students, other employees of the University, or persons who are neither students nor employees of the University.

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**Advertisements** An external communication designed for the recruitment of staff in appropriate media outside the University to provide the greatest pool of qualified applicants.

**Proviso Statement** "All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority."

**Foreign National** Any individual who is not a Canadian Citizen or Permanent Resident of Canada (Permanent Resident must continue to meet residency requirements).

**Designated Canadian National Media** Print, electronic or other media chosen by the hiring unit to provide the greatest pool of qualified applicants and accepted as Canadian (national) media for the purposes of Service Canada's Labour Market Opinion.

**Cross Appointments** Individuals appointed from an external organization or institution to work with the University on a full or part-time basis or an individual within the University appointed to an external organization or institution to work on a full or part-time basis. This may also refer to staff under categories A, B, or C under the *Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff* who hold an unpaid appointment in another department on campus.

**Search Consultant** A member of an external agency contracted by the University to undertake recruitment.

**Recruitment Competition** A process where qualified candidates are interviewed for a vacant position.

**Bona Fide Occupational Requirement** An objective criteria related to the skills and qualifications required for the vacant position.

## FORMS

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca).

Pre-employment Reference Interview Guide

References - Consent for Collection and Verification of Information Form

## RELATED LINKS

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca).

Employment Standards Code (Government of Alberta)

Post-Secondary Learning Act (Government of Alberta)

Original Approval Date: May 13, 2011 Effective Date: July 1, 2011

Most Recent Approval Date: December 12, 2016

Parent Policy: Recruitment Policy

# Support Staff Posting and Advertising Procedure

Office of Administrative Responsibility: Human Resource Services

Approver: Vice-President (Finance and Administration)

## Scope:

Compliance with this procedure extends to all Support Staff as outlined and defined in Recruitment Policy (Appendix A S1.0)

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

## Purpose

This procedure outlines the steps that must be followed for posting and advertising vacancies in support staff positions. The procedures comply with the Collective Agreement between the Non-Academic Staff Association and the Governors of the University.

## PROCEDURE

### GENERAL REQUIREMENTS FOR POSTING AND ADVERTISING JOB VACANCIES

#### Longer than 12 Months

1. Once it has been determined that a vacant position of longer than 12 months in duration will be filled, that position will be posted, unless one of the following occurs in order of precedence:
  - a. There is an individual performing the duties who was appointed by virtue of a posting (change in employee type), or
  - b. The position will be filled due to a duty to accommodate, or
  - c. It is a Non-Academic Staff Association (NASA) bargaining unit position and will be filled

through redeployment or recall, or

d. The parties (NASA and the University) agree to waive the posting procedure on a bargaining unit position. Postings will be on the University of Alberta Careers website for a minimum of five days.

2. For vacancies of 12 months or less:

- a. The vacancy can be posted at the manager's discretion.
- b. The manager may determine that it is appropriate to fill a vacancy that will last 6 to 12 months with a temporary transfer or promotion of a current employee.
  - i. Candidates from the immediate work group are eligible to express their interest.
  - ii. Where the supervisor deems it appropriate, individuals in other work groups may be invited to express their interest.
  - iii. The invitation to apply will normally include;
    1. Position title
    2. Department/Unit
    3. Major responsibilities and accountabilities;
    4. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;
    5. Expected duration;
    6. Salary range;
    7. Deadline date for expression of interest and method of application; and
    8. Information about the selection process.

3. The University is committed to the principle of employment equity and welcomes applications from all qualified persons including persons historically under-represented at the University.

4. A manager may choose to restrict eligibility for a position to applicants internal to the University.

5. Postings and advertisements for vacancies at Faculté Saint-Jean may appear in English, French or both. Where the advertisement is French, it will clearly state the requirement for oral and written competency in English.

6. Advertisements will not precede postings on the University of Alberta Careers website.

7. As per the federal government immigration advertising requirements posting and advertising cannot be waived if foreign national applicants are to be considered.

a. Advertisements must appear in designated Canadian national media.

b. International advertisements must not precede Canadian advertisements. The number of international media advertisements must not exceed the number of Canadian national advertisements.

#### UNIVERSITY EMPLOYMENT EQUITY STATEMENT

8. All postings and advertisements will include the University Employment Equity Statement. Any advertisement will describe the required qualifications, skills, abilities, competencies and credentials in an objective, equitable and inclusive way.

#### INITIATING THE PROCESS

9. If the hiring unit uses the services of a search consultant, the consultant must work with Human Resource Services and will follow the approved standards and template for University of Alberta advertisements.

10. Hiring units initiate the posting and advertising process to create a new competition.

11. All postings and advertisements will include:

- a. Position title and type
- b. Department/Unit
- c. Major responsibilities and accountabilities
- d. Qualifications, which may include education, experience and/or equivalent combination, knowledge, skills and abilities;
- e. Term of employment (if applicable)
- f. Salary range
- g. Deadline date for applications, if applicable
- h. Contact information

## ROLE OF HUMAN RESOURCE SERVICES

12. Human Resource Services will review and approve all postings and advertising to:

- a. Ensure the content is accurate and reflects the current job through cross referencing the job fact sheet and the job evaluation
- b. Ensure the content is accurate and the information and advertising reflects bona fide occupational requirements and complies with federal government immigration requirements (where applicable)
- c. Confirm the salary range and/or evaluation level
- d. Ensure compliance with the University's posting and advertising standards and templates
- e. Screen for accommodation and recall obligations under the NASA Collective Agreement

## ADVERTISING

13. If advertising is required, Human Resource Services will submit the approved advertising copy to the advertising agency for proofs and cost quotes.

14. Upon receipt of the proofs and cost quotes, the hiring unit will advise the advertising agency and Human Resource Services of the approved cost quotes and any final edits to the proof. The cost of advertising is the responsibility of the hiring unit.

15. In selecting advertising venues, the hiring unit should identify relevant venues to reach a diverse pool of prospective qualified applicants.

## DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution- wide use.

**Equity/Equitable** In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.

**Diversity** In the context of this policy, diversity refers to the demographic and identity difference and variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning opportunities.

**Inclusion/Inclusivity** In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.

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## FORMS

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

## RELATED LINKS

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

[University of Alberta Careers \(University of Alberta\)](#)

[Recruitment Policy \(Appendix A\) \*Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff\*](#)

[U of A Policies and Procedures On-Line \(UAPPOL\)](#)

# Acting and Interim Senior Administration Appointment Procedure

Office of Administrative Responsibility: Office of the Provost and Vice-President (Academic)

Approver: Board of Governors

Scope: Compliance with University procedure extends to all members of the University community.

## Overview

The University of Alberta ("University") is committed to appointing the best-qualified candidates for its employment opportunities and aspires to achieve an equitable, diverse and inclusive community of employees consistent with the mission set out in its Strategic Plan for Equity, Diversity and Inclusivity ("EDI Strategic Plan"). By adopting EDI principles and practices into its Support Staff Selection process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by persons historically under-represented at the University. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers, particularly those based on protected grounds. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.

The procedure may also be used by Directors of Centres and Institutes, if they so choose.

## Purpose

To outline how acting and interim senior administrators are selected.

## PROCEDURE

### 1. ACTING SENIOR ADMINISTRATION

In certain cases, it is appropriate to appoint a person to serve as an acting senior administrator when the "permanent" officer is on leave, etc.

Where it is decided to appoint an acting senior administrator, the selection procedures set out under the Employment

Policy will not be used. Such appointments are made as follows:

#### a. President

Where it is decided to appoint an Acting President, the appointment is made by the Board of Governors.

#### b. Vice-President

Where it is decided to appoint an Acting Vice-President, the appointment is made by the Board of Governors on the recommendation of the President.

#### c. Dean

Where it is decided to appoint an Acting Dean, the appointment is made by the Provost and Vice-President (Academic) on their own initiative.

#### d. Chair

Where it is decided to appoint an Acting Chair, the appointment is made by the Dean, who advises the Provost and Vice-President (Academic) of the decision.

Normally, an acting senior administrator appointment will not exceed two years.

## 2. INTERIM SENIOR ADMINISTRATORS

In circumstances where the arrival of the “permanent” officer is delayed, where the “permanent” officer has resigned and a suitable replacement cannot be found, or in the case of academic leaders of new faculties or departments or administrative units, it is appropriate to appoint a person to serve as an interim senior administrator.

Where it is decided to appoint an interim senior administrator, appointments will be made as follows, and the title will remain until such time as a “permanent” officer is in place:

#### a. President

Where it is decided to appoint an Interim President, the appointment is made by the Board of Governors.

#### b. Vice-President

Where it is decided to appoint an Interim Vice-President, the appointment is made by the Board of Governors on the recommendation of the President.

#### c. Dean

Where it is decided to appoint an Interim Dean, the appointment is made by the Provost and Vice-President (Academic) on their own initiative.

#### d. Chair

Where it is decided to appoint an Interim Chair, the appointment is made by the Dean, who advises the Provost and Vice-President (Academic) of the decision.

Normally, an interim senior administrator appointment will not exceed two years.

## **DEFINITIONS**

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AASUA has been asked to review changes to the “Recruitment Policy” which includes search, review and selection procedures. Over the past few months, the AASUA Equity and Diversity committee has had a number of informal opportunities to contribute to the development of this policy. The following constitutes additional written comments for consideration by GFC in finalizing this policy and related procedures.

Respectfully submitted by Terra Garneau – AASUA Equity Officer

#### Recruitment and Selection of Employees Policy "Recruitment Policy"

##### 1. Recruitment Principles a. (page 3)

We would like to suggest that the following be added here

The job posting, in accordance with the provincial and federal Human Rights Acts, will also name the groups it specifically targets in order to achieve “as its objective the amelioration of the conditions of disadvantaged persons or classes of disadvantaged persons” ([Alberta Human Rights Act](#), section 10.1, Ameliorative policies, programs and activities). [1]

The UA Alberta needs to catch up with institutions like UVictoria, Ontario College of Art and Design, Dalhousie, and the tri-councils in naming historically disadvantaged groups it seeks as applicants and potential hires. Also adding because the previous sentence doesn't actually say or ensure much in the way of redressing historical inequities.

##### 1. Recruitment Principles d. (page 3)

The focus should also include at the university itself. For example, it could be that a white person is working in a field in which they are underrepresented but they are also from an over-represented group, racially, at the institution.

##### 2. Principles regarding candidates for employment a. (page 3)

This could and should be stronger and include the direct invitation of applications from employees from under-represented groups.

##### Definition of Diversity (page 4)

The shift here to "more broadly" is cited in EDI scholarship as a mistaken interpretation or understanding of "diversity" and as a way in which universities, in particular, are able to say they are meeting diversity goals without ever addressing demographic inclusion and equity. We recommend the removal of this sentence if the goal is to create a policy that achieves demographic inclusion and diversity and communicates that clearly to employees and supervisors.

#### Vice-Presidential Search Procedure

Overview (reference to "This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search.") (page 6)

We recommend that the notion of intellectual diversity be deleted. It waters down demographics as a focus of diversity and inclusion in hiring.

## 2. Election Procedures for Vice President Advisory Search Committee b.i (bottom of page 7)

Elections are at direct odds with the centering of demographics in the population of an advisory search committee as outlined in the policy to this point. How will elections result in demographic diversity on the search committees? This needs work to sort out rather than leave things to attempts to achieve "the spirit" of the policy.

## 3. Vice President Search Process 1.a) (page 8)

Why is this should and not must (Committee members should consider potential conflicts of interest)?

## 4. Recommendations to the President and the board a. (page 9)

This older existing process is problematic for achieving inclusion and diversity because it shifts from a procedure centering on those things to the choice of the president. We will have to change some policy and procedure, and not only amend it, in order to realize EDI here.

### Vice-Presidential Review Procedure

## 3. Election Procedures for Members of Advisory Review Committee (page 14)

This is the same issue as identified above. Elections are at direct odds with the centering of demographics in the population of an advisory search committee as outlined in the policy to this point. How will elections result in demographic diversity on the search committees? This needs work to sort out rather than leave things to attempts to achieve "the spirit" of the policy.

### Vice-Presidential Search and Review Procedures Appendix A

## Section 7, broad representation (bottom of page 19)

What is the provision for when one additional member still does not achieve demographic diversity -- which is quite likely at a majority-white and still majority-male institution (particularly in leadership)? If you look at the categories from which membership is drawn, this is going to be the case.

### Faculty Deans Selection Procedure

Overview (page 21)

Just identifying that this language -- "committed to appointing the best-qualified" and "aspires to achieve" signals that the status quo will be maintained. If equity and inclusion is only an aspiration and not a commitment, not much is going to change. This can be fixed, at least in spirit, by making these both commitments.

The University of Alberta ("University") is committed to both appointing the best-qualified candidates for its decanal employment opportunities and achieving an **equitable, diverse** and **inclusive** community of **senior administrators** and **employees** consistent with the mission set out in *its Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan").

Faculty selection committee 1.f (page 23)

The bullet identifying participation of Support Staff, and/or Management and Professional Staff (MAPS) would exclude participation of Administrative Professional Officers (APO) as a member of a Dean Selection Committee. Why, if support staff and MAPS can participate, can APO's not?

Dean Selection Procedures (page 24)

Evaluation of qualifications and selection of candidate Section 1.1.

The Committee should be asking candidates what would be reasonable accommodations. This change to the language is best practice -- we don't make those needing accommodation do the work of requesting it; instead we ask if we could usefully provide it.

Section 2 Engineering Deans (page 25)

Why is this here when this is a general Dean selection policy and procedure. Why is this faculty the only one which uses this process of acceptance of the selection committee recommendation to be in the hands academic staff members?

Faculty Dean's Review Procedure

2. The Dean Review Committee B. ii. committee membership (page 29)

Why are these components not consistent across these documents? If this is important in one hiring decision isn't it important in another?

2. The Dean Review Committee B. iv (page 30)

What is sufficient diversity? ie. we want to avoid tokenism so "sufficient diversity" should be defined.

Department Chairs Selection Procedure

2. The Chair Selection Committee c. reference to election by GFC (page 36)

Election will (given our institutional demographics) make ensuring committee demographic diversity very hard to achieve.

### Academic Selection Procedure

#### 1. Applications a. (page 47)

We would like to suggest the following be added here

Advertisements will also name, in accordance with the provincial and federal Human Rights Acts, the groups specifically targeted in order to achieve “as its objective the amelioration of the conditions of disadvantaged persons or classes of disadvantaged persons” ([Alberta Human Rights Act](#), section 10.1, Ameliorative policies, programs and activities).

The UAlberta needs to catch up with institutions like UVictoria, Ontario College of Art and Design, Dalhousie, and the tri-councils in naming historically disadvantaged groups it seeks as applicants and potential hires. Also adding because the previous sentence doesn't actually say or ensure much in the way of redressing historical inequities.

Advisory selection committees should also be directed in the situation where candidates are determined to be similarly qualified for the academic position, the final selection/recommendation decision will favour achieving diversity in the workplace and correcting employment disadvantages experienced by persons historically under-represented at the University.

### Academic Staff Posting and Advertising Procedure

#### Waivers and Exceptions to Posting - paragraph 9 (page 55)

We are not sure if this belongs here or would it only be relevant to the Support Staff posting and advertising procedure. Is this consistent with how APO and TLAPO positions are handled now?

### Acting and Interim Senior Administration Appointment Procedure

#### Overview (page 68)

This is referencing inclusion of EDI principles and practices for support staff, not senior leadership positions. It also indicates the procedures will require periodic assessment of demographic, intellectual and other aspects of diversity when contemplating a search. Yet there is nowhere in the procedure where direction is given to the bodies that appoint acting or interim administrators on how to do this. The appointing bodies should be directed to use a process that ensures consideration for EDI in selection and appointments to these positions.

Does the University have any procedures around succession planning? This procedure should be linked to succession planning, because often interim appointments are used in building skills for future leaders. Opportunities need to be open to historically underrepresented persons, specifically for these kinds of positions.