Key Purposes

To understand governance at the University of Alberta

To spark interest in those considering getting involved and highlight the role you could play in university decision making

To give interest in those considering more involvement in governance committees – or to those who have already ‘jumped-in’ with access to information

To provide insight into the rationale behind the process and preparation behind the decisions and why ‘good’ material makes a big difference

To learn something about governance at the University of Alberta
www.ualbertacentennial.ca
What is Governance?

• processes and practices through which an entity organizes itself to achieve its mandate.

• structures and procedures for decision-making, accountability, control and codes of conduct.

• How? Through legislation, policies and by-laws, and informal norms.

• GOAL - of effective governance is an organization that achieves peak performance and is accountable to the people it serves.
Governance – that is, how an educational community defines its mission, identifies its challenges, develops its strategies, involves its stakeholders, and makes its decisions – determines whether a school can thrive.

- G Douglass Lewis

“Governance of good relationships”

- Harold Cardinal
• Governance at a University –
  • works because of the participation and engagement of many

• For GFC and its standing committees, there are 370 members of our community who serve

• For the Board, we have about 35 members (21 on the Board and External members)

• Members serve the ‘institution’
  • Not their particular constituency group

• Each of the stakeholders and Faculties also have a number of structures and processes - all of which depend on an engaged community of members!
Collegial Governance

System of governance that depends heavily upon the participation of colleagues to establish and realize a shared purpose

Provides an opportunity for citizens to participate in decision-making, and it is the hallmark of academic decision-making
Provides an opportunity for citizens to participate in decision-making – VIRTUALLY!

Conducting Virtual Meetings
In Alberta, authority is transferred from the Province to the University by means of legislation.

As noted, the central legislative piece for Alberta universities is the *Post-Secondary Learning Act* of 2004 (combined and updated four separate Acts into one comprehensive piece of legislation).

Although there are many checks and balances, the University is an autonomous entity and its own corporation, continued by Provincial legislation.
Advanced Education

• Works with post-secondary institutions to ensure all Albertans have access to high quality learning opportunities
Accountable to the Minister and governed under the authority of the Post-Secondary Learning Act

Funded in part by government through operating and other types of grants

May also generate revenue from:
- tuition and fees
- ancillary services
- sponsored research funding
- investments and donations
The University of Alberta exercises its authority with a governance structure of three branches:

- Legislative Branch
- Judicial Branch
- Executive Branch

- Each branch has its own set of decision-making groups and officers
- And each branch operates with a set of ‘rules’ – and committees have their own terms of reference as a guide
<table>
<thead>
<tr>
<th>LEGISLATIVE</th>
<th>EXECUTIVE</th>
<th>JUDICIAL</th>
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<tr>
<td>• Makes broad guiding decisions, e.g., mission, mandate, academic plan, policy</td>
<td>• Develops proposals for Legislative Branch</td>
<td>• Sits in judgment on individual cases independent of the Legislative or Executive Branch</td>
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<td>• Implements the decisions of the Legislative Branch</td>
<td>• Acts in accord with judicial policies passed by Legislative Branch</td>
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<td>• Develops procedures, regulations and guidelines</td>
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<td>• Oversees operations</td>
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LEGISLATIVE BRANCH
Debates and passes policies

EXECUTIVE BRANCH
Proposes policy to Legislative Branch
-Carries out policies

JUDICIAL BRANCH

Students (GFC)
- Academic Standing
- Discipline
- Practicum placement/safety

Academic Staff (Board of Governors)
- Article 7 of Board/AASUA Agreements

Non-Academic Staff (Board of Governors)
- Discipline and Grievance Articles of Board/NASA Agreements

*Named in the PSLA
The most common means for governance to identify and realize shared purpose is through the identification of guiding frameworks, such as the Institutional Strategic Plan: *For the Public Good*, Investment Management Agreements, Faculty plans, and business plans.

These guiding frameworks inform and influence all institutional decision-making.
Guiding authorities which influence decision-making:

- Legislation
- Staff agreements
- Mandate, vision, the academic plan, business plans
- The *University Calendar*
- Policy and procedure
- Governance committees
- Terms of reference
The general operating practices of the University are found in:

- **University of Alberta Policies and Procedures On-Line** (UAPPOL)
- **General Faculties Council Policy Manual**
- **University Calendar**
- **Staff Agreements**
Governance processes vary, but here are some examples:

• Creation of governance instruments to guide decision-making, articulate decisions, or to create an authority to allow for decision implementation

• Developing advisory groups or consultative processes to enrich decision-making
University of Alberta Policies and Procedures On-Line (UAPPOL)

- UAPPOL (pronounced “you apple”) is a central repository in SharePoint for University of Alberta policies and procedures, except for those found in the University Calendar and Staff Agreements. Please be aware that UAPPOL is the official repository for these documents (there is no “official hard copy”)

- Policies exist to protect both you and the University. Please be aware that you have an obligation to comply with University policy and procedure

- The work of populating UAPPOL is ongoing. There is currently material in transition to UAPPOL from the General Faculties Council (GFC) Policy Manual
Plan to attend an upcoming session. Objective is to provide a plain-language overview of Privacy, Records Management, Information Security and the University Archives.

Sessions offered monthly and through the Learn Centre. Login with your CCID and password. Search “Privacy” and "Enroll" in the session.
The University of Alberta governs itself with a **bicameral** governance structure (literally, it is governance in two chambers):

- The two governing bodies are the [Board of Governors](#) and [General Faculties Council](#).
- Although the Board is the senior of the two, the Board and GFC share and balance power within the University.

The [University Governance](#) unit, under the direction of the University Secretary, provides support for all areas of the Board and GFC.
The Board has senior oversight of the institution; it concerns itself with the long-range planning and the business affairs of the institution

- Examples of its role are the approval of the mandate, the budget, tuition fees, financial statements, investment policy, collective agreements, and the appointment of the President

General Faculties Council, subject to the authority of the board, is responsible for the academic affairs of the university

- Examples of its role are granting degrees, approval of the academic plan, academic programs, academic policies, academic calendar, academic awards, and hearing and determining student appeals
Board of Governors

Autonomous

Composed of **21 members** who represent groups including students, staff, alumni, and the public

Members are appointed by the Lieutenant Governor in Council and the Minister

Must follow the approved mandate of the institution
The University of Alberta’s Mandate and Roles Document was approved initially in 2010 and is reviewed annually by the Board.

The document describes:

- the mandate of the University
- the roles of Government and the University
- the accountability chain
- a process for annual reaffirmation of mandate documents
- how the renewal of mandate documents will occur
Audit and Risk (BARC)
Finance and Property (BFPC)
Governance (BGC)
Human Resources and Compensation (BHRCC)
Investment (BIC)
Learning, Research and Student Experience (BLRSEC)
Reputation and Public Affairs (BRPAC)
Board of Governors Organization

Board of Governors

- Audit & Risk (BARC)
- Finance & Property (BFPC)
- Governance (BGC)
- Human Resources & Compensation (BHRCC)
- Investment (BIC)
- Learning, Research and Student Experience (BLRSEC)
- Reputation & Public Affairs (BRPAC)
General Faculties Council (GFC)

Legislative body dealing with academic and student affairs

**Composition**
- 159 members
  - **Statutory** members by virtue of their office (*ex officio*) or elected
  - **Appointed** members (appointed by Statutory members)

**Authority**
- New Faculties, Schools, Departments, Programs
- Admissions, the Calendar
- Academic Schedule/Exam timetable
- Budget
- Conferring degrees (except Honorary)
- Appeals
- Processes associated with appointments, promotions, dismissals, salaries and tenure
Effective September 1, 2020, The ASC will change to the GFC Programs Committee (PC)
Ad Hoc Committee’s Four Guiding Documents (approved by GFC on April 21, 2017):

**Principles for General Faculties Council Delegation of Authority**

**Principles for General Faculties Council Standing Committee Composition**

**Roles and Responsibilities of Members**

**Meeting Procedural Rules**

*GFC and Committee Member Guidebook*
The Board of Governors and the Board Standing Committees operate under Robert’s Rules of Order.

The General Faculties Council and the GFC Standing Committees have enacted Meeting Procedural Rules to carry out its responsibilities. Roberts Rules are the ‘last’ reference!
GFC and Board – Interaction

Share 7 Members In Common

- President
- SU President
- GSA President
- Undergraduate student nominee
- Nominee – AASUA
- Nominee – NASA
- Nominee – GFC

Each GFC Agenda – receives a report from the Board

Each Board Agenda – receives a report from GFC
GFC Committees Dealing With:

**STUDENT ACADEMIC STANDING AND DISCIPLINE**

- **Academic Appeals Committee**: final level of appeal for students wishing to appeal Faculty decisions on matters of academic standing, as outlined in the [Academic Appeals Policy](#).

- **Practice Review Board**: deals with appeals from students who have been withdrawn from practicum placements, as outlined in the [Practicum Intervention Policy](#).

- **University Appeal Board**: final level of appeal for students and student groups charged under the [Code of Student Behaviour](#) or applicants charged under the [Code of Applicant Behaviour](#).

- **Other student discipline resources**
Required by the Post-Secondary Learning Act

Advisory to:

- President
- Board of Governors
- General Faculties Council

Members include:

- President
- Vice-Presidents
- Dean of each Faculty
- Other administrators
Other Bodies Mandated by the PSLA

Faculty or School Councils:

- Required for each Faculty and School
- Members include the President and all of the School or Faculty’s full-time academic staff

Student Affairs:

- Students Association (Students’ Union)
- Graduate Students’ Association
Important Stakeholders

- Association of Academic Staff University of Alberta (AASUA)
- Non-Academic Staff Association (NASA)
- Postdoctoral Fellows Association (PDFA)
- Alumni Association (governing body: Alumni Council)
Elects a **Chancellor** for a 4-year term

- represents the University at ceremonial occasions
- presides over all degree-conferring ceremonies
- chairs Senate meetings

The **President** serves as the Vice-Chancellor

**61 members**, including 30 members of the public

“It is the duty of a senate to inquire into any matter that might benefit the university and enhance its position in the community.”

*The Post-Secondary Learning Act, 2003*
Mandate: “To inquire, promote and connect.”

Senator Roles (ABCs):

- Ambassador
- Advocate
- Bridge-Builder
- Catalyst
- Celebrant
Senior Executive Responsibility Structure

Post-Secondary Learning Act

Board of Governors
Kate Chisholm

President
Dave Turpin

Provost
Steve Dew

Chancellor
Douglas Stollery

The Senate

General Faculties Council

University Secretary
Marion Haggarty-France

VP Academic
Steven Dew

Interim VP Research/Innovation
Walter Dixon

VP Finance/Administration
Gitta Kulczycki

VP Facilities/Operations
Andrew Sharman

Interim VP Advancement
Kelly Spencer

Interim VP University Relations
Catherine Swindlehurst
President and Vice-Presidents are appointed by the Board of Governors.

President – has overall supervision and direction of the operation of the institution. President – Chief Executive Officer

Provost and VP (A) – Chief Operating Officer and Chief Academic Officer

Sources of Authority for the President and Vice-Presidents:

- PSLA
- Job Descriptions (approved by the Board)
- Delegations of Authority – from the Board and GFC
What All of This Means for You

- Universities have developed a unique governance model in order to exercise authority to serve their interests
- It is important, when you are involved in governance, to remember that you serve the greater good of the entire institution
- A definition of governance that is suitable for the university setting:

  A collective effort, through smooth and suitable process, to take actions that advance a shared purpose consistent with the institution’s mission.
  - Chait, Holland and Taylor, 1996
University Governance

Board Governance

The Board has senior oversight of the institution; it concerns itself with the long-range planning and the business affairs of the institution.

Examples of its role are the approval of the mandate, the budget, tuition fees, financial statements, investment policy, collective agreements, and the appointment of the President.

Governance in the Community

2019 UA Plasma Car Derby | Friday October 25 | Noon-1 pm on Social Street | Get Involved Today!

SEE THE 2019 TEAMS. Donate today! GIVE TO 2019 United Way Campaign-UofA

Governance Meeting Schedules

All Meeting Schedules are subject to change. Please check regularly for updates.

Board of Governors 2019-20 (Chrono View)
General Faculties Council 2019-20 (Chrono View)
All Governance Meeting Schedules 2019-20 (Alpha & Chrono Views)
GOVERNANCE AT-A-GLANCE

POST-SECONDARY LEARNING ACT

University of Alberta Guiding Documents
For the Public Good
Objective 21

UNIVERSITY GOVERNANCE
Office of the University Secretary

UNIVERSITY SECRETARY

GOVERNANCE SERVICES:
Ensuring effective and efficient support systems are meeting the governance needs of Board, GFC and U of A.

Responsible for:
- systematic retention of University's records
- provision of information resources to U of A community
- maintaining of institutional knowledge and memory
- maintenance of accessible indexes of decision-making
- advising stakeholders about policy, precedent and process
- university nomination & election processes

ACADEMIC GOVERNANCE:
General Faculties Council (GFC)
Chair, President of the University of Alberta
159 GFC Members
10 Standing Committees (listed below)
Ad Hoc Committees approved by GFC
- Academic Planning
- Committee on the Learning Environment
- Executive
- Council on Student Affairs
- Facilities Development
- Nominating
- Programs
- Student Conduct Policy
- Undergraduate Awards & Bursaries
- University Teaching Awards

On a "per-seat" basis, Academic Governance interacts regularly with a community of over 360 seats representing GFC, students, faculty/staff and administration.

BOARD GOVERNANCE:
University of Alberta Board of Governors
Chair, Board of Governors
21 Appointed Board of Governors
External Committee Members
7 Standing Committees (listed below)
200 +Governors Emeriti Members (GEM)
- Audit and Risk;
- Finance and Property;
- Governance;
- Human Resources and Compensation;
- Investment;
- Learning, Research and Student Experience
- Reputation and Public Affairs

On a "per-seat" basis, the Board Governance team engages regularly with a community of over 170 seats representing public, alumni, students, faculty/staff and administration.

GOVERNANCE SERVICES and Operations
Manager, Governance Operations
Executive Assistant (University Governance)

Academic Governance
GFC Secretary & Manager of GFC Services
Assistant Secretary to GFC

Board Governance
Board Secretary & Manager of Board Services
Assistant Secretary to Board of Governors

Judiciary Governance
Appeals and Compliance Officer
Appeals and Compliance Assistant

JUDICIARY GOVERNANCE:
Led by the Appeals & Compliance Officer, university-level appeal bodies consisting of elected panel members objectively hear submissions from both parties to an appeal, analyze and weigh evidence and come to a reasonable decision based on the evidence.

- GFC Academic Appeals Committee
- GFC Practice Review Board
- University Appeal Board

Judiciary Governance works regularly with graduate and undergraduate students, Faculty members, representatives from General Counsel, Office of the Dean of Students and other university offices as needed.

Led by the University Secretary, the University Governance Unit is responsible for the effective operation and administration of the University's governance system. University Governance supports informed decision making by the Board of Governors, General Faculties Council and their committee structures by ensuring that due process has been followed on all items prior to being presented for consideration.
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