

December 9, 2011

## Board of Governors - Approved Motions

The following Motions were approved by the Board of Governors in the Public Session of its December 9, 2011 meeting:

### Item 4.1

Agenda Title: **University of Alberta 2012-13 Tuition Fee Proposal**

#### MOTION:

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve a proposal from the University Administration for a general tuition fee increase of 1.45% effective September 1, 2012 as illustrated in the table below.

<b>Undergraduate<sup>a, b, c</sup></b> (Arts and Science)	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$5,194.80	\$5,269.20	\$74.40	1.43%
International, Base	\$5,194.80	\$5,269.20	\$74.40	
International, Differential	<u>\$12,862.80</u>	<u>\$13,048.80</u>	<u>\$186.00</u>	
Total, International	\$18,057.60	\$18,318.00	\$260.40	1.44%
<b>Business Administration Diploma<sup>a, b</sup></b>	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$2,760.00	\$2,799.60	\$39.60	1.43%
International, Base	\$2,760.00	\$2,799.60	\$39.60	
International, Differential	<u>\$6,844.80</u>	<u>\$6,943.20</u>	<u>\$98.40</u>	
Total, International	\$9,604.80	\$9,742.80	\$138.00	1.44%
<b>Graduate Course Based<sup>a, b</sup></b>	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$3,655.44	\$3,708.00	\$52.56	1.44%
International, Base Tuition	\$3,655.44	\$3,708.00	\$52.56	
International, Differential	<u>\$3,655.44</u>	<u>\$3,708.00</u>	<u>\$52.56</u>	
Total International	\$7,310.88	\$7,416.00	\$105.12	1.44%
<b>Graduate Thesis 919<sup>a, b, d</sup></b> (admitted prior to September 2011)	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$2,279.76	\$2,312.80	\$33.04	1.45%
International, Base	\$2,279.76	\$2,312.80	\$33.04	
International, Differential	<u>\$2,279.76</u>	<u>\$2,312.80</u>	<u>\$33.04</u>	
Total, International	\$4,559.52	\$4,625.60	\$66.08	1.45%
<b>Graduate Thesis Based<sup>a, b, c, d, e</sup></b> (admitted September 2011 or after)	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic, Thesis Based	\$2,738.40	\$2,778.00	\$39.60	1.45%
International, Base Tuition	\$2,738.40	\$2,778.00	\$39.60	
International, Differential	<u>\$2,730.00</u>	<u>\$2,769.48</u>	<u>\$39.48</u>	
Total International	\$5,468.40	\$5,547.48	\$79.08	1.45%

**Notes:**

- (a) Values are based on a full-time per term and full-time per year
- (b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.
- (c) Excludes applicable market modifier and/or program differentials.
- (d) Tuition applies to thesis students who were admitted to the program of study prior to September 2011 and are assessed the reduced thesis rate.
- (e) Tuition applies to thesis students who were admitted to the program of study beginning in September 2011 or later; this is based on an annual fee assessment (including spring/summer).

**CARRIED**

Agenda Documentation:

[Attachment 1:](#) Item 4.1

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**Item 4.2**

Agenda Title: **University of Alberta 2012-13 Program/Course Differential Fee and Market Modifier Fee Proposal**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property, approve a proposal from the University Administration for an increase to program and course differential fees of 1.45%, effective September 1, 2012 for:

- a) Faculty of Law, Juris Doctor (JD) program;
- b) Faculty of Business, Master of Business Administration (MBA) program;
- c) Faculty of Medicine & Dentistry, Doctor of Medicine (MD) program;
- d) Faculty of Business, Undergraduate Business courses;
- e) Faculty of Engineering, Undergraduate Engineering courses;
- f) Faculty of Pharmaceutical Sciences, Pharmacy program; and,
- g) Graduate Studies, Thesis Based.

as set out in the table below.

Program & Course Differential Fee Proposal <sup>a, b</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Juris Doctor (JD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Master of Business Administration (MBA) Program	\$583.56 per course	\$591.96 per course	\$8.40 per course	1.44%
Doctor of Medicine (MD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Market Modifier Fee Proposal <sup>a, b, c</sup>	2011-12	2012-13	Change	
			(\$)	(\$)
Business	\$204.76 per course	\$207.72 per course	\$2.96 per course	1.45%
Engineering	\$173.16 per course	\$175.64 per course	\$2.48 per course	1.43%
Pharmacy	\$3,386.80	\$3,435.88	\$49.08	1.45%
Graduate, Thesis Based <sup>d</sup> (admitted September 2011 or after)	\$836.22	\$848.28	\$12.06	1.44%

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- (a) Values are based on a full-time per term and full-time per year, unless they are stated to be 'per course'.
  - (b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.
  - (c) A grand-parenting structure applies in each case to allow for the exemption of these fees, under specific conditions, for students registered prior to September 2011.
  - (d) Graduate Market Modifier applies only to thesis students beginning their program of study in Fall 2011 or later and is based on an annual fee assessment (including spring/summer).

**CARRIED**

Agenda Documentation:  
[Attachment 1:](#) Item 4.2

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### **Item 4.3**

Agenda Title: **2012-2013 Residence Rate Proposal**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the 2012-2013 Residence Rate Proposal, as set forth in Attachment 1 to the agenda documentation, effective May 1, 2012.

**CARRIED**

Agenda Documentation:  
[Attachment 1:](#) Item 4.3

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### **Item 4.4**

Agenda Title: **2012-2013 Parking Fees**

**MOTION 1:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the motion of the Board of Governors of March 19, 2004, recorded in minute 12(c), which states that effective September 1, 2004.

*Parking fees will be subject to annual adjustments based on cost of living increase.*

**CARRIED**

**MOTION 2:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve that parking fees up to and including cost of living increase are received by the Board Finance and Property Committee and the Board of Governors on an annual basis for information.

**CARRIED**

Agenda Documentation:  
[Attachment 1:](#) Item 4.4

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**Item 4.5**

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Agenda Title: **Capitalization of Unrestricted Funds to Permanent Restricted Endowments Net Assets**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the transfer of \$463,138.48 of unrestricted net assets to permanent restricted endowment net assets.

**CARRIED**

*Agenda Documentation:*

[Attachment 1:](#) Item 4.5

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**Item 5.1**

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Agenda Title: **Postdoctoral Fellows Policy**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve an editorial revision in the Postdoctoral Fellows Policy to reflect the recent change in the administrative reporting of the Postdoctoral Fellows Office.

**CARRIED**

*Agenda Documentation:*

[Attachment 1:](#) Item 5.1

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**Item 5.2**

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Agenda Title: **Negotiated Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*)**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the negotiated changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*), as submitted by Faculty Relations (Office of the Provost and Vice-President (Academic)) and as set forth in Attachment 1, to take effect retroactively to August 8, 2011.

**CARRIED**

*Agenda Documentation:*

[Attachment 1:](#) Item 5.2

**Item 6.1**

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Agenda Title: **Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures**

**MOTION:**

THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee, approve the proposed changes to the UAPPOL Centres and Institutes Policy, as submitted by the Office of the Provost and Vice-President (Academic) as set forth in Attachment 1.

Note 1: The proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure were approved, under delegated by the General Faculties Council Executive at its meeting of November 7, 2011. They are included herein for the information only of the Board of Governors.

Note 2: The proposed revisions to the Affiliated Centres and Institutes Establishment Procedure, the Affiliated Centres and Institutes Operation Procedure, the Affiliated Centres and Institutes Termination Procedure, and the Affiliated Centres and Institutes (Appendix A) Agreement Requirements are included herein for the information only of members of the Board of Governors. The final approver of changes to these UAPPOL Procedures (and the accompanying 'Agreement Requirements') is the Provost and Vice-President (Academic).

**CARRIED**

Agenda Documentation:

[Attachment 1:](#) Item 6.1

**OUTLINE OF ISSUE**
**Agenda Title:** University of Alberta 2012-13 Tuition Fee Proposal

**Motion:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve a proposal from the University Administration for a general tuition fee increase of 1.45% effective September 1, 2012 as illustrated in the table below.

<b>Undergraduate<sup>a, b, c</sup></b> (Arts and Science)	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
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**Item**

<b>Action Requested</b>	<input checked="" type="checkbox"/> <b>Approval</b> <input type="checkbox"/> <b>Recommendation</b> <input type="checkbox"/> <b>Discussion/Advice</b> <input type="checkbox"/> <b>Information</b>
<b>Proposed by</b>	Provost and Vice-President (Academic)
<b>Presenters</b>	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
<b>Subject</b>	Tuition for 2012-13

**Details**

<b>Responsibility</b>	Provost and Vice-President (Academic)
<b>The Purpose of the Proposal is (please be specific)</b>	To set tuition fees for the 2012-13 academic year.
<b>The Impact of the Proposal is</b>	See 'Purpose'.
<b>Replaces/Revises (e.g. policies, resolutions)</b>	Tuition proposal set by the Board of Governors on December 10, 2010 for September 2011.
<b>Timeline/Implementation Date</b>	September 2012
<b>Estimated Cost</b>	N/A
<b>Sources of Funding</b>	N/A

**Alignment/Compliance**

<b>Alignment with Guiding Documents</b>	Comprehensive Institutional Plan; <i>Dare to Discover</i> ; <i>Dare to Deliver</i>
<b>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</b>	<p><b>1. Ministerial Letter Regarding the New Tuition Fees Regulation:</b></p> <p>A letter to the President, University of Alberta, dated August 3, 2011 from the Ministry of Advanced Education and Technology states that:</p> <p style="padding-left: 40px;">“In accordance with the <i>Public Post-secondary Institutions’ Tuition Fee Regulation</i>, the maximum allowable weighted average tuition fee increase across the entire institution for 2012/2013 shall not exceed 1.45%.”</p> <p><b>2. Post-Secondary Learning Act (PSLA), Sections 61(1) and 61(2)(a):</b></p> <p>“<b>61(1)</b> The board of a public post-secondary institution shall set the tuition fees to be paid by students of the public post-secondary institution.</p> <p><b>61(2)</b> The tuition fees under subsection (1) for all public post-secondary institutions other than Banff Centre</p> <p style="padding-left: 40px;">(a) must be set in accordance with the regulations[.] [...]”</p>

	<p><b>3. PSLA - (Section 26(1)(o)) states:</b></p> <p>“Powers of general faculties council</p> <p>26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to</p> <p>(o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university [...]”</p> <p>On the line-by-line <u>budget</u>, including consideration of matters related to tuition, GFC has delegated this responsibility to its senior standing committee, the GFC Academic Planning Committee (APC), as noted in the following.</p> <p><b>4. GFC Academic Planning Committee (APC) Terms of Reference (Mandate-Section 3.4(b)):</b></p> <p>“APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: [...]</p> <p><b>4. Budget Matters</b></p> <p>To recommend to the Board of Governors on the annual budget, excluding budgets for ancillary units. [...]”</p> <p><b>5. Board Finance and Property (BFPC) Terms of Reference (Section 3(d)):</b></p> <p>“3. Without limiting the generality of the foregoing, the Committee shall: [...] d) review and recommend to the Board tuition and other like fees[.]”</p>
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**Routing** (Include meeting dates)

<b>Consultative Route</b> (parties who have seen the proposal and in what capacity)	Executive Planning Committee – Approved October 12, 2011
	Budget Advisory Committee – Reviewed October 17, 2011
	GFC Academic Planning Committee – Approved November 23, 2011
<b>Approval Route (Governance)</b> (including meeting dates)	Board Finance and Property Committee – November 29, 2011
	Board of Governors – December 9, 2011
<b>Final Approver</b>	Board of Governors

Attachments:

1. University of Alberta 2012-13 Tuition Proposal
2. Letter from Ministry of Advanced Education and Technology to the President, University of Alberta





University of Alberta  
Tuition Proposal, 2012-13

## **TUITION POLICY**

Under the provincial *Public Post-Secondary Institutions' Tuition Fees Regulation*, annual tuition increases are tied to the Alberta Consumer Price Index (CPI) based on average monthly increases from July to June. For 2012-13, Alberta Advanced Education and Technology calculated the maximum allowable tuition increase to be 1.45 percent.

## **THE BUDGET CONTEXT**

Tuition fee revenue is integral to the University's continued vitality and success. It is the second largest source of unrestricted operating funds and represents approximately 23 percent of total operating revenues.

While the Canadian and Albertan economies have shown a few signs of economic recovery, sustained economic growth still relies on sustained economic growth by the United States. Similarly, continued uncertainty in European markets has limited a global recovery. For Alberta, economic recovery is also largely dependent on the oil and gas industries, particularly through a sustained upturn in commodity prices.

Despite some optimism, the province had forecasted a \$3.4 billion deficit for 2011-12 and a \$681 million deficit for 2012-13. A surplus position is expected in 2013-14. During these times of financial restraint, increases to public investment have been limited.

It is uncertain at this time whether the university can expect base funding increases from the province for 2012-13. The Campus Alberta Grant has experienced two consecutive years without any funding increases as it struggles against ongoing inflationary pressures. As such, the university must maintain its strategy of maximizing revenue while controlling expenditures.

## **TUITION PROPOSAL**

It is recommended that all general, differential and market modifier tuition fees increase by 1.45 percent effective September 1, 2012. In addition, consistent with the University of Alberta's principle that international students pay the full cost of their education, it is recommended that international tuition (base plus differential) also increase by 1.45 percent. Details of the proposal are outlined below.

### **1) General Tuition Fee Proposal**

<b>Undergraduate (Arts and Science) <sup>a, b, c</sup></b>	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
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(a) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(b) Values are based on a full-time per term and full-time per year.

(c) Excludes applicable market modifier and/or program specific differential fees.

## 2) Graduate Tuition Fee Proposal, General

Course Based <sup>a</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Domestic	\$3,655.44	\$3,708.00	\$52.56	1.44%
International, Base Tuition	\$3,655.44	\$3,708.00	\$52.56	
International, Differential	<u>\$3,655.44</u>	<u>\$3,708.00</u>	<u>\$52.56</u>	
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(a) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(b) Tuition applies to thesis students who were admitted to the program of study prior to Fall 2011 and are assessed the reduced thesis rate.

(c) Excludes applicable market modifier.

(d) This is based on an annual fee assessment (including spring/summer).

## 3) Program Differential Fee Proposal

Program Differentials <sup>a, b</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Juris Doctor (JD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Master of Business Administration (MBA) Program	\$583.56 per course	\$591.96 per course	\$8.40 per course	1.44%
Doctor of Medicine (MD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%

(a) Values are based on a full-time per term and full-time per year.

(b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

#### 4) Market Modifier Fee Proposal

Market Modifier <sup>a, b, c</sup>	Approved 2011-12	2012-13	Change	
			(\$)	(%)
Business (per course)	\$204.76	\$207.72	\$2.96	1.45%
Engineering (per course)	\$173.16	\$175.64	\$2.48	1.43%
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(c) A grand-parenting structure applies in each case to allow for the exemption of these fees, under specific conditions, for students registered prior to September 2011.

(d) Graduate market modifier applies only to thesis students beginning their program of study in Fall 2011 or later, and is based on an annual fee assessment (including spring/summer).

**Government of Alberta** ■

Advanced Education and Technology

Commerce Place  
10155 - 102 Street  
Edmonton, Alberta T5J 4L5  
Canada

AR 31019

August 3, 2011

Dr. Indira V. Samarasekera, O.C.  
President and Vice-Chancellor  
University of Alberta  
3 - 1 University Hall  
Edmonton, Alberta T6G 2J9



Dear Dr. Samarasekera *Indira*


In accordance with the *Public Post-secondary Institutions' Tuition Fee Regulation*, the maximum allowable weighted average tuition fee increase across the entire institution for 2012/2013 shall not exceed 1.45%. The allowable increase is based on the increase of the average monthly Alberta Consumer Price Index (CPI) for June 2010/2011 over the average monthly June 2009/2010 Alberta CPI. Programs that were approved for market modifiers for Fall 2011 are to be included in this institution-wide limit for 2012.

We request that you submit your initial draft of the 2012/2013 Tuition Fee Compliance worksheet for fee increases for 2012/2013 by December 1, 2011. We expect to be able to forward you the draft worksheet by September 30, 2011 including a section to reflect the approved market modifiers. Once your board has approved the 2012/2013 tuition fee schedule, your Vice-President's final sign-off should then be submitted by March 15, 2012.

If you have questions with regard to the above, please contact Dr. Harald Zinner, Director, Accountability/Outcomes Reporting by telephone at (780) 427-7145 or by email at [harald.zinner@gov.ab.ca](mailto:harald.zinner@gov.ab.ca).

Thank you for your assistance in this matter.

Sincerely,

  
Connie Harrison  
Assistant Deputy Minister  
Post-secondary and Community Education

cc: Ms. Phyllis Clark, Vice-President, Finance and Administration and Chief Financial Officer  
Dr. Carl Amrhein, Provost and Vice-President, Academic

*Alberta* ■

**OUTLINE OF ISSUE**

**Agenda Title:** University of Alberta 2012-13 Program/Course Differential Fee and Market Modifier Fee Proposal

**Motion:**

THAT the Board of Governors, on the recommendation of the Board Finance and Property, approve a proposal from the University Administration for an increase to program and course differential fees of 1.45%, effective September 1, 2012 for:

- a) Faculty of Law, Juris Doctor (JD) program;
- b) Faculty of Business, Master of Business Administration (MBA) program;
- c) Faculty of Medicine & Dentistry, Doctor of Medicine (MD) program;
- d) Faculty of Business, Undergraduate Business courses;
- e) Faculty of Engineering, Undergraduate Engineering courses;
- f) Faculty of Pharmaceutical Sciences, Pharmacy program; and,
- g) Graduate Studies, Thesis Based.

as set out in the table below.

Program & Course Differential Fee Proposal <sup>a, b</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Juris Doctor (JD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Master of Business Administration (MBA) Program	\$583.56 per course	\$591.96 per course	\$8.40 per course	1.44%
Doctor of Medicine (MD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Market Modifier Fee Proposal <sup>a, b, c</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Business	\$204.76 per course	\$207.72 per course	\$2.96 per course	1.45%
Engineering	\$173.16 per course	\$175.64 per course	\$2.48 per course	1.43%
Pharmacy	\$3,386.80	\$3,435.88	\$49.08	1.45%
Graduate, Thesis Based <sup>d</sup> (admitted September 2011 or after)	\$836.22	\$848.28	\$12.06	1.44%

(a) Values are based on a full-time per term and full-time per year, unless they are stated to be 'per course'.

(b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(c) A grand-parenting structure applies in each case to allow for the exemption of these fees, under specific conditions, for students registered prior to September 2011.

(d) Graduate Market Modifier applies only to thesis students beginning their program of study in Fall 2011 or later and is based on an annual fee assessment (including spring/summer).

**Item**

<b>Action Requested</b>	<input checked="" type="checkbox"/> <b>Approval</b> <input type="checkbox"/> <b>Recommendation</b> <input type="checkbox"/> <b>Discussion/Advice</b> <input type="checkbox"/> <b>Information</b>
<b>Proposed by</b>	Provost and Vice-President (Academic)
<b>Presenters</b>	Provost and Vice-President (Academic) and Vice-President (Finance and Administration)
<b>Subject</b>	Program Differential and Market Modifier Fees for 2012-13

**Details**

<b>Responsibility</b>	Provost and Vice-President (Academic)
<b>The Purpose of the Proposal is (please be specific)</b>	To set differential/market modifier fees for the 2012-13 academic year.
<b>The Impact of the Proposal is</b>	See 'Purpose'.
<b>Replaces/Revises (e.g. policies, resolutions)</b>	Program differential fees set by the Board of Governors on December 10, 2010 for September 2011.
<b>Timeline/Implementation Date</b>	September 2012
<b>Estimated Cost</b>	N/A
<b>Sources of Funding</b>	N/A

**Alignment/Compliance**

<b>Alignment with Guiding Documents</b>	<b>Comprehensive Institutional Plan; <i>Dare to Discover; Dare to Deliver</i></b>
<b>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</b>	<p><b>1. Ministerial Letter Regarding the New Tuition Fees Regulation</b></p> <p>A letter to the President, University of Alberta, dated August 3, 2011 from the Ministry of Advanced Education and Technology states that:</p> <p style="padding-left: 40px;">“In accordance with the <i>Public Post-secondary Institutions’ Tuition Fee Regulation</i>, the maximum allowable weighted average tuition fee increase across the entire institution for 2012/2013 shall not exceed 1.45%.”</p> <p><b>2. Post-Secondary Learning Act (PSLA), Sections 61(1) and 61(2)(a)</b></p> <p><b>61(1)</b> The board of a public post-secondary institution shall set the tuition fees to be paid by students of the public post-secondary institution.</p> <p><b>61(2)</b> The tuition fees under subsection (1) for all public post-secondary institutions other than Banff Centre</p> <p style="padding-left: 40px;">(a) must be set in accordance with the regulations[.] ...</p> <p><b>3. PSLA - (Section 26(1)(o)) states:</b></p> <p>“Powers of general faculties council</p> <p>26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to</p> <p style="padding-left: 40px;">(o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university [...].”</p>

	<p>On the line-by-line <u>budget</u>, including consideration of matters related to tuition, GFC has delegated this responsibility to its senior standing committee, the GFC Academic Planning Committee (APC), as noted in the following.</p> <p><b>4. GFC Academic Planning Committee (APC) Terms of Reference (Mandate-Section 3.4(b)):</b></p> <p>“APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: [...]</p> <p><b>4. Budget Matters</b>        To recommend to the Board of Governors on the annual budget, excluding budgets for ancillary units. [...].”</p> <p><b>5. Board Finance and Property (BFPC) Terms of Reference (Section 3(d)):</b></p> <p>“3. Without limiting the generality of the foregoing, the Committee shall: [...]        d) review and recommend to the Board tuition and other like fees[.]”</p>
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**Routing** (Include meeting dates)

<b>Consultative Route (parties who have seen the proposal and in what capacity)</b>	Executive Planning Committee – Approved October 12, 2011 Budget Advisory Committee – Reviewed October 17, 2011 GFC Academic Planning Committee – Approved November 23, 2011
<b>Approval Route (Governance) (including meeting dates)</b>	Board Finance and Property Committee – November 29, 2011 Board of Governors – December 9, 2011
<b>Final Approver</b>	Board of Governors

Attachments: (Please see Item 4.1 Attachments)

1. University of Alberta 2012-13 Tuition Proposal
2. Letter from Ministry of Advanced Education and Technology to the President, University of Alberta





# University of Alberta Tuition Proposal, 2012-13

## **TUITION POLICY**

Under the provincial *Public Post-Secondary Institutions' Tuition Fees Regulation*, annual tuition increases are tied to the Alberta Consumer Price Index (CPI) based on average monthly increases from July to June. For 2012-13, Alberta Advanced Education and Technology calculated the maximum allowable tuition increase to be 1.45 percent.

## **THE BUDGET CONTEXT**

Tuition fee revenue is integral to the University's continued vitality and success. It is the second largest source of unrestricted operating funds and represents approximately 23 percent of total operating revenues.

While the Canadian and Albertan economies have shown a few signs of economic recovery, sustained economic growth still relies on sustained economic growth by the United States. Similarly, continued uncertainty in European markets has limited a global recovery. For Alberta, economic recovery is also largely dependent on the oil and gas industries, particularly through a sustained upturn in commodity prices.

Despite some optimism, the province had forecasted a \$3.4 billion deficit for 2011-12 and a \$681 million deficit for 2012-13. A surplus position is expected in 2013-14. During these times of financial restraint, increases to public investment have been limited.

It is uncertain at this time whether the university can expect base funding increases from the province for 2012-13. The Campus Alberta Grant has experienced two consecutive years without any funding increases as it struggles against ongoing inflationary pressures. As such, the university must maintain its strategy of maximizing revenue while controlling expenditures.

## **TUITION PROPOSAL**

It is recommended that all general, differential and market modifier tuition fees increase by 1.45 percent effective September 1, 2012. In addition, consistent with the University of Alberta's principle that international students pay the full cost of their education, it is recommended that international tuition (base plus differential) also increase by 1.45 percent. Details of the proposal are outlined below.

### **1) General Tuition Fee Proposal**

<b>Undergraduate (Arts and Science) <sup>a, b, c</sup></b>	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$5,194.80	\$5,269.20	\$74.40	1.43%
International, Base	\$5,194.80	\$5,269.20	\$74.40	
International, Differential	<u>\$12,862.80</u>	<u>\$13,048.80</u>	<u>\$186.00</u>	
Total, International	\$18,057.60	\$18,318.00	\$260.40	1.44%
<b>Business Administration Diploma <sup>a, b, c</sup></b>	<b>2011-12</b>	<b>2012-13</b>	<b>Change</b>	
			<b>(\$)</b>	<b>(%)</b>
Domestic	\$2,760.00	\$2,799.60	\$39.60	1.43%
International, Base	\$2,760.00	\$2,799.60	\$39.60	
International, Differential	<u>\$6,844.80</u>	<u>\$6,943.20</u>	<u>\$98.40</u>	
Total, International	\$9,604.80	\$9,742.80	\$138.00	1.44%

(a) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(b) Values are based on a full-time per term and full-time per year.

(c) Excludes applicable market modifier and/or program specific differential fees.

## 2) Graduate Tuition Fee Proposal, General

Course Based <sup>a</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Domestic	\$3,655.44	\$3,708.00	\$52.56	1.44%
International, Base Tuition	\$3,655.44	\$3,708.00	\$52.56	
International, Differential	<u>\$3,655.44</u>	<u>\$3,708.00</u>	<u>\$52.56</u>	
Total, International	\$7,310.88	\$7,416.00	\$105.12	1.44%
Thesis 919 <sup>a, b</sup> (admitted prior to September 2011)	2011-12	2012-13	Change	
			(\$)	(%)
Domestic	\$2,279.76	\$2,312.80	\$33.04	1.45%
International, Base Tuition	\$2,279.76	\$2,312.80	\$33.04	
International, Differential	<u>\$2,279.76</u>	<u>\$2,312.80</u>	<u>\$33.04</u>	
Total, International	\$4,559.52	\$4,625.60	\$66.08	1.45%
Thesis Based <sup>a, c, d</sup> (admitted September 2011 or after)	2011-12	2012-13	Change	
			(\$)	(%)
Domestic	\$2,738.40	\$2,778.00	\$39.60	1.45%
International, Base Tuition	\$2,738.40	\$2,778.00	\$39.60	
International, Differential	<u>\$2,730.00</u>	<u>\$2,769.48</u>	<u>\$39.48</u>	
Total, International	\$5,468.40	\$5,547.48	\$79.08	1.45%

(a) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(b) Tuition applies to thesis students who were admitted to the program of study prior to Fall 2011 and are assessed the reduced thesis rate.

(c) Excludes applicable market modifier.

(d) This is based on an annual fee assessment (including spring/summer).

## 3) Program Differential Fee Proposal

Program Differentials <sup>a, b</sup>	2011-12	2012-13	Change	
			(\$)	(%)
Juris Doctor (JD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%
Master of Business Administration (MBA) Program	\$583.56 per course	\$591.96 per course	\$8.40 per course	1.44%
Doctor of Medicine (MD) Program	\$4,436.28	\$4,500.60	\$64.32	1.45%

(a) Values are based on a full-time per term and full-time per year.

(b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

#### 4) Market Modifier Fee Proposal

Market Modifier <sup>a, b, c</sup>	Approved 2011-12	2012-13	Change	
			(\$)	(%)
Business (per course)	\$204.76	\$207.72	\$2.96	1.45%
Engineering (per course)	\$173.16	\$175.64	\$2.48	1.43%
Pharmacy	\$3,386.80	\$3,435.88	\$49.08	1.45%
Graduate, Thesis Based <sup>d</sup> (admitted September 2011 or after)	\$836.22	\$848.28	\$12.06	1.44%

(a) Values are based on a full-time per term and full-time per year, unless they are stated to be 'per course'.

(b) Figures may be rounded downwards at fee index level for administrative purposes, thus lowering the effective year over year percentage increase below 1.45 percent.

(c) A grand-parenting structure applies in each case to allow for the exemption of these fees, under specific conditions, for students registered prior to September 2011.

(d) Graduate market modifier applies only to thesis students beginning their program of study in Fall 2011 or later, and is based on an annual fee assessment (including spring/summer).

**Government of Alberta** ■

Advanced Education and Technology

Commerce Place  
10155 - 102 Street  
Edmonton, Alberta T5J 4L5  
Canada

AR 31019

August 3, 2011

Dr. Indira V. Samarasekera, O.C.  
President and Vice-Chancellor  
University of Alberta  
3 - 1 University Hall  
Edmonton, Alberta T6G 2J9



Dear Dr. Samarasekera *Indira*


In accordance with the *Public Post-secondary Institutions' Tuition Fee Regulation*, the maximum allowable weighted average tuition fee increase across the entire institution for 2012/2013 shall not exceed 1.45%. The allowable increase is based on the increase of the average monthly Alberta Consumer Price Index (CPI) for June 2010/2011 over the average monthly June 2009/2010 Alberta CPI. Programs that were approved for market modifiers for Fall 2011 are to be included in this institution-wide limit for 2012.

We request that you submit your initial draft of the 2012/2013 Tuition Fee Compliance worksheet for fee increases for 2012/2013 by December 1, 2011. We expect to be able to forward you the draft worksheet by September 30, 2011 including a section to reflect the approved market modifiers. Once your board has approved the 2012/2013 tuition fee schedule, your Vice-President's final sign-off should then be submitted by March 15, 2012.

If you have questions with regard to the above, please contact Dr. Harald Zinner, Director, Accountability/Outcomes Reporting by telephone at (780) 427-7145 or by email at [harald.zinner@gov.ab.ca](mailto:harald.zinner@gov.ab.ca).

Thank you for your assistance in this matter.

Sincerely,

  
Connie Harrison  
Assistant Deputy Minister  
Post-secondary and Community Education

cc: Ms. Phyllis Clark, Vice-President, Finance and Administration and Chief Financial Officer  
Dr. Carl Amrhein, Provost and Vice-President, Academic

*Alberta* ■

**OUTLINE OF ISSUE**
**Agenda Title: 2012-2013 Residence Rate Proposal**

**Motion 1:** THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the 2012-2013 Residence Rate Proposal, as set forth in Attachment 1 to the agenda documentation, effective May 1, 2012.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Ancillary Services
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	2012-2013 Residence Rate Proposal

**Details**

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	To present the proposal for the 2012-2013 residence rate increases. An increase of 1.66% is proposed for residences on the Edmonton and Augustana campuses.
The Impact of the Proposal is	Ancillaries do not receive base operating or capital dollars to build and maintain the student residences. As per Board of Governors direction, Ancillaries must operate the student residences as self-sustaining operations. As such, the financial pro forma must reflect the full and true cost of replacement and renewal of their capital assets through operations and reserves, including the repayment of debt and related interest. In addition, the residences are subject to municipal property taxation.
Replaces/Revises (eg, policies, resolutions)	n/a
Timeline/Implementation Date	May 1, 2012
Estimated Cost	n/a
Sources of Funding	n/a
Notes	n/a

**Alignment/Compliance**

Alignment with Guiding Documents	<ul style="list-style-type: none"> <li>Facilities and Operations, Ancillary Services' Business Plan and Budget.</li> <li>Residence Services Capital Reserve Strategy (Board Finance and Property Committee, May 27, 2010 – for information and Board of Governors, June 25, 2010 – for information)</li> </ul>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p>University Academic Plan          Board Finance and Property (BFPC) Terms of Reference, Section 3(d) and 4(e) state:</p> <p><i>3. Without limiting the generality of the foregoing, the Committee shall:</i>  <i>d. review and recommend to the Board tuition and other like fees.</i></p> <p><b><u>4. LIMITATIONS ON DELEGATION BY THE BOARD</u></b>  <i>The general delegation of authority by the Board to the Committee shall be limited as set</i></p>

	<i>out in this paragraph. Notwithstanding the general delegation of authority to the Committee set out in paragraph 3, the Board shall: (e) approve tuition and other like fees;</i>
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**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Residence Budget Advisory Committee (RBAC) – October 19, 2011 Tuition Task Force – October 5, 2011 SIG – October 18, 2011 EPC – November 9, 2011
Approval Route (Governance) (including meeting dates)	EPC – November 9, 2011 Board Finance and Property Committee – November 29, 2011 Board of Governors – December 9, 2011
Final Approver	Board of Governors

**Attachments:**

1. Proposed Residence Rates
2. Residence Budget Advisory Committee (RBAC) Terms of Reference – revised September 19, 2011

Prepared by:  
 Doug Dawson  
 Executive Director  
 Ancillary Services  
 1-050 Lister Centre  
 Phone: 780-492-1421  
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Ancillary Services 2012-13 Proposed Residence Rates

<i>UNIVERSITY OF ALBERTA</i>				
ANCILLARY SERVICES				
2012-2013 Proposed Residence Rents				
		2011-12 Rent	Proposed Rent 2012-13	1.66% Incr.
<b>Faculte St Jean</b>				
Single	8 mos	\$577	\$587	1.66%
<b>East Campus Village Apartments</b>				
1 Bedroom		\$919	\$934	1.66%
2 Bedroom		\$613	\$623	1.66%
4 Bedroom		\$474	\$482	1.66%
<b>I House</b>				
Single/bath	8 mos	\$664	\$675	1.66%
<b>HUB</b>				
Bachelor		\$698	\$710	1.66%
Furnished Bach		\$758	\$771	1.66%
1 Bedroom		\$919	\$934	1.66%
2 Bedroom/person		\$572	\$581	1.66%
4 Bedroom/person		\$414	\$421	1.66%
<b>Lister</b>				
Single	8 mos	\$541	\$550	1.66%
Single	4 mos	\$585	\$595	1.66%
Double	8 mos	\$344	\$350	1.66%
Double	4 mos	\$359	\$365	1.66%
Single/bath	8 mos	\$647	\$658	1.66%
<b>Michener Park</b>				
Row House 2 Bedrm		\$793 - \$860	\$806 - \$874	1.66%
Row House 3 Bedrm		\$992 - \$1046	\$1008 - \$1063	1.66%
2 Bedrm Walk-up		\$760 - \$795	\$773 - \$808	1.66%
Vanier House		\$807 - \$856	\$820 - \$870	1.66%
<b>Newton Place</b>				
Bachelor		\$772 - \$836	\$785 - \$850	1.66%
1 Bedroom		\$943 - \$1017	\$959 - \$1034	1.66%
2 Bedroom		\$1253 - \$1345	\$1274 - \$1367	1.66%
<b>ECV Houses</b>				
Houses		\$408 - \$1002	\$415 - \$1019	1.66%
<b>Graduate Student Residence</b>				
Studio Suites		\$900	\$915	1.66%
2 Bedroom		\$750	\$762	1.66%
<b>Augustana (Room &amp; Board)</b>				
		<b>Room &amp; Board</b>		
Single Room 8 month		\$887	\$902	1.66%
Double Room 8 month		\$752	\$764	1.66%
Single Room 4 month		\$931	\$946	1.66%
Double Room 4 month		\$790	\$803	1.66%



## Residence Budget Advisory Committee (RBAC)

### Terms of Reference

#### 1. Purpose

The Student/University Administration – Residence Budget Advisory Committee (RBAC) is the student and senior administrative committee that ensures open and effective communication between the students and senior administration, in relation to Residence Services budgeting process and those budgeting issues that have a direct impact on student rent.

#### 2. Committee Mandate

The Student/University Administration – Residence Budget Advisory Committee will:

- Consult and discuss proposals with consideration to the institution's guiding documents e.g. Dare Discover, Dare to Deliver.
- Consult, review, consider and discuss issues affecting Residence Services' budget planning and development process as they relate to student rents.
- Assist the students and senior administration in developing common strategies in approaching government on matters relating to the availability of student housing.
- Ensure the effective communication between the organizations and offices represented on the Committee.

#### 3. Committee Composition

The committee shall consist of the following standing and resource members:

##### Standing Members

Vice President, Facilities and Operations, *Chair*  
Vice-Provost and Dean of Students or designate  
Dean, Faculty of Graduate Studies and Research or designate  
President, Graduate Students' Association (GSA) or designate from executive  
Vice-President, Student Life, GSA  
President, Students' Union (SU) or designate from executive  
Vice-President, Student Life, SU  
President, Augustana Students' Union or designate from executive  
President, Residence Hall Association

Resource Personnel

Executive Director, Ancillary Services  
Director, Residence Services  
Director, Operations, Ancillary Services  
Director, Finance, Facilities and Operations  
Finance Supervisor, Ancillary Services

**4. Committee Meetings**

The Student/University Administration – Residence Budget Advisory Committee will meet at the call of the Chair with meetings to coincide with the budget planning cycle of the University.

Meetings of RBAC are supplemented by meetings of the Vice President, Facilities and Operations, the Dean of Students, the Director, Residence Services and the Executive Director, Ancillary Services with stakeholders.

**5. Secretariat**

The Office of the Vice-President, Facilities and Operations will provide secretariat support to the committee.

Official records of the committee's deliberations will be held by the Office of the Vice-President, Facilities and Operations. The records of the Committee will be subject to the provincial FOIPP legislation and comply with the records retention schedule of the Office of the Vice-President, Facilities and Operations.

**OUTLINE OF ISSUE**
**Agenda Title: 2012-2013 Parking Fees**

**Motion 1:** THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the motion of the Board of Governors of March 19, 2004, recorded in minute 12(c), which states that effective September 1, 2004.

*Parking fees will be subject to annual adjustments based on cost of living increase.*

**Motion 2:** THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve that parking fees up to and including cost of living increase are received by the Board Finance and Property Committee and the Board of Governors on an annual basis for information.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Ancillary Services
Presenter	Don Hickey, Vice-President (Facilities and Operations)
Subject	2012-2013 Parking Fees

**Details**

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is (please be specific)	<p>The purpose of the proposal is to provide Parking Services with the flexibility required to manage rate increases appropriate to operational circumstances. University parking pricing is informed by local market rates, parking demand, costs, levels of funding required for upgrading and renewal, and sustainability (Travel Demand Management) initiatives.</p> <ul style="list-style-type: none"> <li>➤ The wording of the Board of Governors 2004 decision that guides Parking Services with regards to cost of living rate increases is, unintentionally, too restrictive.</li> <li>➤ This issue came to light last year, when 2011-2012 parking rate proposals advanced at the December 1, 2010 BFPC meeting included a recommendation to maintain visitor rates at then current levels.</li> <li>➤ The recommendation to maintain rates at current levels was not, by the letter, aligned with the 2004 motion.</li> <li>➤ At the December 2010 meeting, the Board Chair provided background information on the history of the motion and the intent of the Board of Governors at the time, and noted the intention to clarify the wording of this motion at a future meeting (BFPC meeting of December 1, 2010, Minute 13 A).</li> <li>➤ The proposed 2012-2013 parking rates are attached for information.</li> </ul>
The Impact of the Proposal is	The proposed rescission and replacement would provide Parking Services with the flexibility required to manage rate increases appropriate to operational circumstances.

Replaces/Revises (eg, policies, resolutions)	Motion of the Board of Governors of March 19, 2004, recorded in minute 12(c), which states that effective September 1, 2004,  <i>Parking fees will be subject to annual adjustments based on cost of living increase.</i>
Timeline/Implementation Date	Effective date: April 1, 2012
Estimated Cost	n/a
Sources of Funding	n/a
Notes	n/a

**Alignment/Compliance**

Alignment with Guiding Documents	Facilities and Operations, Ancillary Services' Business Plan and Budget. Travel Demand Management Study.
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>Post-Secondary Learning Act, Section 18 states:</p> <p><i>(2) A board may make the following bylaws to control vehicles and pedestrians on university land:</i></p> <p><i>(a) parking bylaws</i></p> <p><i>(v) establishing fees respecting the parking of vehicles and providing for the collection of those fees;</i></p> <p><b>3. MANDATE OF THE COMMITTEE</b></p> <p>Except as provided in paragraph 4 and in the Board's General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</p>

**Routing (Include meeting dates)**

Consultative Route (parties who have seen the proposal and in what capacity)	Ancillary Fees Working Group – ongoing meetings held every 2 weeks from late August through October 2011 SIG – October 18, 2011 EPC – Nov 9, 2011
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee – November 29, 2011 Board of Governors – December 9, 2011
Final Approver	Board of Governors

**Attachments:**

- Attachment 1—Proposed Parking Rates Increase 2012-2013.

Prepared by:  
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**Parking Services**  
Department of Ancillary Services  
University of Alberta

**Proposed Parking Rate Increase 2012 - 13**

<b>North Campus Monthly Rates</b>	<b>Current Monthly Rate</b>	<b>Proposed increase 1.66 % all Monthly Rates</b>	<b>Total Proposed Monthly</b>
Heated Underground	\$151.20	\$2.51	\$153.71
Private stall, Heated Underground	\$186.48	\$3.10	\$189.58
Carpark	\$106.79	\$1.77	\$108.56
Surface Lot With Power	\$92.74	\$1.54	\$94.28
Surface Lot Without Power	\$85.22	\$1.41	\$86.63
Jubilee Surface	\$78.36	\$1.30	\$79.66
Jubilee Carpark	\$98.36	\$1.63	\$99.99
Private, Parking Structure	\$135.52	\$2.25	\$137.77
Private, Surface With Power	\$121.16	\$2.01	\$123.17
Private, Surface, Without Power	\$113.96	\$1.89	\$115.85
Afternoon	\$35.52	\$0.59	\$36.11
<b>South Campus Monthly Rates</b>			
Surface Lot Without Power	\$60.66	\$1.01	\$61.67
<b>Campus Saint Jean Monthly Rates</b>			
Surface with power	\$76.42	\$1.27	\$77.69
Surface without power	\$73.26	\$1.22	\$74.48
<b>Augustana Faculty Monthly Rates</b>			
Student Stall Without Power	\$9.47	\$0.16	\$9.63
Staff Stall Without Power	\$9.47	\$0.16	\$9.63
Student Stall With Power	\$30.94	\$0.51	\$31.45
Staff Stall With Power	\$30.94	\$0.51	\$31.45
<b>North Campus Annual Rates</b>	<b>Current Annual Rate</b>	<b>Proposed increase 1.66 % all Annual Rates</b>	<b>Total Proposed Annual</b>
Motorcycle	\$142.05	\$2.36	\$144.41
Evening	\$177.09	\$2.94	\$180.03
Graveyard	\$117.97	\$1.96	\$119.93
Single Lot--Secondary Permit	\$70.85	\$1.18	\$72.03
Campus-wide Secondary Permit (annual rate)	120.96	\$2.01	\$122.97

**Parking Services**  
Department of Ancillary Services  
University of Alberta

**Proposed Parking Rate Increase 2012 - 13**

<b>Visitor Rates</b>	<b>Current rate</b>	<b>Proposed increase</b>	<b>Total Proposed</b>	<b>ONEcard holder rate</b>
Visitor hourly (North Campus Regular locations)	\$4.00 per hour	\$0.00	\$4.00 per hour	\$4.00 per hour
Visitor daily (North Campus Regular locations)	\$14.00 daily maximum	\$0.00	\$14.00 daily maximum	\$14.00 daily maximum
Visitor daily Jubilee Carpark	\$14.00 daily maximum	\$0.00	\$14.00 daily maximum	\$12.00 daily maximum
Visitor hourly (South Campus)	\$3.00	\$0.00	\$3.00	\$3.00 per hour
Visitor daily (South Campus)	\$10.00 daily maximum	\$0.00	\$10.00 daily maximum	\$10.00 daily maximum
Visitor hourly (North Campus Select locations)*	\$5.00 per hour	\$0.00	\$5.00 per hour	\$5.00 per hour
Visitor daily (Select-Education Caraprk)	\$15.00 daily maximum	\$0.00	\$15.00 daily maximum	\$14.00 daily maximum
Visitor evening (North Campus all locations)	\$5.00 evening maximum	\$0.00	\$5.00 evening maximum	\$5.00 evening maximum

Notes:

At Jubilee Carpark University-affiliated personnel with a valid ONEcard will pay a reduced rate of \$12.00 per day.

At Education Carpark ONEcard holders will pay a reduced rate of \$14.00 per day.

\* Lot C, Lot 84, Phys Ed East and Education Carpark.

Lots C, 84 and Phys Ed East have no daily maximum rate as per Board approval in January 2009.

Augustana rates rendered monthly--users pay by semester or year.

**OUTLINE OF ISSUE**

 Agenda Title: **Capitalization of Unrestricted Funds to Permanent Restricted Endowments Net Assets**

**Motion:** THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the transfer of \$463,138.48 of unrestricted net assets to permanent restricted endowment net assets.

<b>Action Requested</b>	<input checked="" type="checkbox"/> <b>Approval</b> <input type="checkbox"/> <b>Recommendation</b> <input type="checkbox"/> <b>Discussion/Advice</b> <input type="checkbox"/> <b>Information</b>
<b>Proposed by</b>	Vice-President (Finance and Administration)
<b>Presenter</b>	Phyllis Clark
<b>Subject</b>	Approval of the transfer of unrestricted funds to permanent restricted endowment net assets.

**Details**

<b>Responsibility</b>	<b>Vice-President (Finance and Administration)</b>								
<b>The Purpose of the Proposal is (please be specific)</b>	The Vice President (Finance and Administration) has requested capitalization as follows <ul style="list-style-type: none"> <li>• Source of funds: discretionary funds (WCB special dividend) Purpose: To enhance programs associated with the health and safety of University of Alberta employees</li> </ul>								
<b>Background</b>	<b>Fiscal 2009 capitalization</b> <table style="margin-left: 40px;"> <tr> <td>WCB special dividend with respect to 2005</td> <td style="text-align: right;">\$ 658,978.42</td> </tr> <tr> <td>WCB special dividend with respect to 2006</td> <td style="text-align: right;">663,221.24</td> </tr> <tr> <td>WCB special dividend with respect to 2007</td> <td style="text-align: right;">515,843.84</td> </tr> <tr> <td><b>Total capitalization approved November 2008</b></td> <td style="text-align: right;"><b>\$1,838,043.50</b></td> </tr> </table>	WCB special dividend with respect to 2005	\$ 658,978.42	WCB special dividend with respect to 2006	663,221.24	WCB special dividend with respect to 2007	515,843.84	<b>Total capitalization approved November 2008</b>	<b>\$1,838,043.50</b>
WCB special dividend with respect to 2005	\$ 658,978.42								
WCB special dividend with respect to 2006	663,221.24								
WCB special dividend with respect to 2007	515,843.84								
<b>Total capitalization approved November 2008</b>	<b>\$1,838,043.50</b>								
<b>The Impact of the Proposal is</b>	Transfer of \$463,138.48 of unrestricted net assets to permanent restricted endowment net assets.								
<b>Replaces/Revises (eg, policies, resolutions)</b>	None								
<b>Timeline/Implementation Date</b>	Effective upon approval by the Board of Governors.								
<b>Estimated Cost</b>	n/a								
<b>Sources of Funding</b>	n/a								
<b>Notes</b>	None								

**Alignment/Compliance**

<b>Alignment with Guiding Documents</b>	<b>Dare to Discover: A Vision for a Great University</b> <b>Dare to Deliver: The University of Alberta Academic Plan 2011-2015</b>
<b>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section)</b>	<b>1. Post-Secondary Learning Act</b> Under the <i>Post-Secondary Learning Act</i> , the University's Board of Governors has the <i>capacity, rights, powers and privileges of a natural person</i> (Section 59(1)), and the Board is tasked with <i>managing and operating the University in accordance with its mandate</i> (Section 60). Thus, like any other owner of property, the

<p>numbers)</p>	<p>governors of the University can create a trust by declaration whereby it yields up its ownership interest and becomes a trustee of the subject property, with beneficial ownership of the property residing elsewhere.</p> <p>This is equally so in terms of the creation of true permanent endowments (charitable purpose trusts) whereby the University can declare a trust that results in its taking on a trustee role for the property (in substitution for its prior ownership role) and whereby the beneficiaries of the trust become the equitable owners of the trust (i.e. in the case of a charitable purpose trust, the objects or purposes to which the endowment is devoted).</p> <p><b><u>2. University Policy and Procedure On-Line (UAPPOL)</u></b></p> <p>Board-approved Capitalization of Unrestricted Funds to Endowment Policy and relevant procedure.</p> <p><b><u>3. Board of Governors General Terms of Reference, Section 1.b. states:</u></b></p> <p><i>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 responsibility except to the extent that such authority has been specifically limited by the Board in the Terms of Reference for the Committee.</i></p> <p><b><u>4. The Board Finance and Property Committee Terms of Reference, Sections 3 and 4 state:</u></b></p> <p><i>Section 3</i>  <i>Except as provided in paragraph 4 and in the Board's General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to all strategic and significant financial and property matters and policies of the University. The Committee shall also consider any other matter delegated to the Committee by the Board.</i></p> <p><i>Without limiting the generality of the foregoing, the Committee shall:</i></p> <ul style="list-style-type: none"> <li><i>a) review the sources of and application of financial resources</i></li> <li><i>b) review and recommend to the Board the guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets.</i></li> <li><i>c) review and recommend to the Board the annual and other budgets and major issues of policy related to budgets</i></li> </ul> <p><b>4. <u>LIMITATIONS ON DELEGATION BY THE BOARD</u></b></p> <p><i>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 set out in paragraph 3, the Board shall:</i></p> <ul style="list-style-type: none"> <li><i>(a) approve the guiding principles, budgets and changes to approved budgets and the transfer or reallocation of monies included in approved budgets;</i></li> </ul>
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**Routing** (Include meeting dates)

<p><b>Consultative Route</b>        (parties who have seen the proposal and in what capacity)</p>	
<p><b>Approval Route</b></p>	<p>Board Finance and Property Committee – For Recommendation – Nov 29, 2011</p>



<b>(Governance) (including meeting dates)</b>	Board of Governors – For Approval – Dec 9, 2011
<b>Final Approver</b>	Board of Governors

## Appendices:

1. Capitalization of Unrestricted Funds to Endowment Policy
2. Capitalization of Unrestricted Funds to Endowment Procedure

*Prepared by:* Martin Coutts, Associate Vice-President, Finance and Supply Management Services  
([martin.coutts@ualberta.ca](mailto:martin.coutts@ualberta.ca), 492-3436)  
Michele Pearce, Director, Financial Accounting and Reporting, Financial Services  
([michele.pearce@ualberta.ca](mailto:michele.pearce@ualberta.ca), 492-0877)



## U of A POLICIES AND PROCEDURES ONLINE (UAPPOL)

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Approval Date: May 11, 2007

[Published Procedures of This Policy](#)

Go to:	<a href="#">[Overview]</a>	<a href="#">[Purpose]</a>	<a href="#">[POLICY]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[RELATED LINKS]</a>
This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.					

## Capitalization of Unrestricted Funds to Permanent Restricted Endowment Policy

<b>Office of Accountability:</b>	Vice-President (Finance and Administration)
<b>Office of Administrative Responsibility:</b>	Financial Services
<b>Approver:</b>	Board of Governors

### Overview

The University may from time to time decide to capitalize unrestricted funds to permanent restricted endowments for the future and permanent benefit of the University. The University would consider this approach when it has surplus funds that are not required for the current operation of the University and only after other internal obligations have been satisfied.

### Purpose

To provide an appropriate policy and process when unrestricted funds are used to create a new permanent restricted endowment or are added to an existing **permanent restricted endowment**.

### POLICY

Compliance with University policy extends to all members of the University community. [\[Back to Top\]](#)

The Board of Governors may establish or augment permanent restricted endowments from unrestricted sources of funds upon recommendation of and approval by the Vice-President (Finance and Administration). In developing a recommendation, the Vice-President (Finance and Administration) will consult with the Provost and other appropriate Vice-Presidents.

### DEFINITIONS

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

<b>Permanent restricted endowment</b>	A "charitable purpose trust" which is held by the University Board of Governors as trustee and not in its own right.
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### RELATED LINKS

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## PUBLISHED PROCEDURES OF THIS POLICY

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## U of A POLICIES AND PROCEDURES ONLINE (UAPPOL)

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Approval Date: February 29, 2008

[Published Procedures of the Parent Policy](#)

Parent Policy: [Capitalization of Unrestricted Funds to Endowment Policy](#)

<b>Go to:</b>	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Capitalization of Unrestricted Funds to Permanent Restricted Endowment Procedure

<b>Office of Administrative Responsibility:</b>	Financial Services
<b>Approver:</b>	Vice-President (Finance and Administration)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

The University may from time to time decide to capitalize unrestricted funds to **permanent restricted endowments** for the future and permanent benefit of the University. The University would consider this approach when it has surplus funds that are not required for the current operation of the University and only after other internal obligations have been satisfied.

### Purpose

To ensure that:

- capitalization occurs only when it is financially appropriate for the University
- all appropriate approvals for capitalizing unrestricted funds are obtained

### PROCEDURE

The University's ability and desire to capitalize unrestricted funds at a time when the University may be in a deficit in future years may be based on a number of factors. The appropriate analysis is required during any deficit period to support a decision to capitalize.

#### 1. DETERMINE ELIGIBILITY OF FUNDING SOURCE

The following outlines the general categories of unrestricted funding and the appropriateness of capitalization for each of these categories. These categories also assist in identifying the funding source in the request and therefore provide the appropriate context to those in an approval role.

##### a. Undesignated donations:

This includes:

- i. donations targeted to a faculty or department without a specified purpose;
- ii. estates that are silent with respect to terms and conditions and therefore these funds must be classified as unrestricted. It is the University's belief that most donors would prefer to permanently endow their bequest, however not all donors may be aware of the appropriate wording to designate as such.

*Undesignated donations - eligible for capitalization*

b. Ancillary funds

An ancillary **unit**, after covering its full costs of operating, may have surplus funds.

*Ancillary surplus funds - eligible for capitalization*

c. Enrolment Planning Envelope (EPE) funds

Funded by the provincial government for the purposes of implementing specific new programs or expanding existing programs.

*EPE funds – not eligible for capitalization, as these are conditional grant*

d. General operating funds

This includes the provincial operating grant, other provincial grants, student tuition and related fees, investment income, generally sales (external and internal), indirect cost recoveries, and other miscellaneous revenues.

*General operating funds – not eligible for capitalization, as these funds are for the day to day operational expenses of the University*

e. Royalties

Payments to a unit for the use of a work or invention or a right to take natural resources. Includes the use of intellectual property.

*Royalties - eligible for capitalization*

## 2. DETERMINE ELIGIBILITY OF FACULTY/UNIT

A faculty must be in an overall positive financial position (i.e. favorable budget variance position in the operating fund).

## 3. MEET MINIMUM CAPITALIZATION THRESHOLD

Generally a minimum threshold of \$50,000 (in aggregate per faculty) is required for capitalization.

## 4. PROVIDE ANALYSIS, SUPPORT AND FACULTY APPROVAL FOR REQUEST

The Dean must submit a request for capitalization to the Provost and Vice-President Academic (via signed letter) with the following information:

*(Note: Item 8 provides a sample format for the Summary of Request for Capitalization of University Funds that may be of assistance when assembling the information required.)*

- a. composition of the source of funding  
(plus provide full chart of accounts, excluding account)

- b. proposed amount to be capitalized  
(plus provide endowment fund number if to an existing endowment)
- c. explanation as to reason funds are available and why it is in the best interests of the University to permanently endow these funds
- d. summary of the past three years' history of faculty requests for capitalization of unrestricted funds
- e. if creating a new endowment, the Dean must:
  - i. complete and sign the Statement of Trust for Capitalization  
Note: Statement of Trust for Capitalization form must be requested from Financial Services (This form is not in the Forms Cabinet.)
  - ii. provide detailed terms of reference for the new endowment
  - iii. designate the Endowment Manager (i.e. Dean, Chair)
  - iv. provide the following certification:
    - 1. *"We are fully aware that this will result in the permanent capitalization of funds to the above mentioned endowment fund."*
- f. if adding to an existing endowment, the Dean must:
  - i. provide a copy of the relevant section of the terms of reference of the existing endowment including confirmation that the existing endowment accepts additional contributions.
  - ii. provide the following certifications:
    - 1. *"We are fully aware that this will result in the permanent capitalization of funds to the above mentioned endowment fund."*
    - 2. *"We have reviewed the terms of reference for the existing endowment and there are no restrictions within the terms which may affect this capitalization."*

## 5. SUBMISSION AND APPROVAL TIMELINES AND PROCESS

A request for capitalization is reviewed at the same time that the Provost and Vice-President Academic and other Vice-Presidents review plans for large variances. Requests from faculties that are not required to provide a plan for large variances, but are requesting capitalization, are also reviewed at this time.

- a. Request is submitted by mid-May to the Provost and Vice-President
- b. Upon completion of the review for capitalization the Provost and Vice-President Academic will either:
  - i. recommend and forward to the Vice-President (Finance and Administration) for consideration. Provost signs the Statement of Trust; or
  - ii. not approve and provide faculty the rationale for the decision.
- c. The Vice-President (Finance and Administration) reviews, consults and provides final approval. The Vice-President (Finance and Administration) signs the Statement of Trust (for new endowments) and forwards to Financial Services. If the request is not approved, the Vice-President (Finance and Administration) advises the Provost and Vice-President Academic and the faculty.

## d. Financial Services:

- i. reviews for completeness and accuracy  
(any inconsistencies with the requirements of this procedure may result in a re-review of the request);
- ii. prepares motion for the fall Board of Governors meeting;
- iii. upon written confirmation of the Board of Governors approval, advises the faculties and processes the capitalization entry.

## 6. SUBMISSION AND APPROVAL PROCESS – CAPITALIZATION OF ESTATES OVER \$500,000

*(Note: This is the one exception to the timelines on the process outlined above.)*

- a. Requests for capitalization of estates equal to or greater than \$500,000 are forwarded to the next scheduled Board of Governors meeting.
- b. For estates that fall into this category the faculty must send its request to Financial Services, and include: memo from the Dean (including certification statement); supporting documentation (i.e. copy of will); Statement of Trust (if setting up a new endowment); any other relevant supporting documentation.
- c. Financial Services prepares the Board of Governors motion and provides to Vice-President (Finance and Administration), who consults with the Provost and other Vice-Presidents. The appropriate Vice-President signs the Statement of Trust (if required). Upon written notification of the Board of Governors approval, Financial Services advises the faculty, process the capitalization entry and sign the Statement of Trust on behalf of the Vice-President (Finance and Administration).

## 7. SUBMISSION AND APPROVAL PROCESS - CAPITALIZATION OF CENTRAL INSTITUTIONAL FUNDS (FUND 100)

- a. The Executive Planning Committee (EPC) may approve requests for capitalizing central institutional funds. The requesting Vice-President's office provides EPC with support for the request (refer to earlier sections as to appropriate support) and the recommendation. If approved by EPC, then the requesting Vice-President's office forwards all supporting documentation (including the minutes from the EPC meeting showing that the request was approved) to Financial Services.
- b. Financial Services prepares the motion for the fall Board of Governors meeting. Upon written confirmation of the Board of Governors approval, Financial Services advises the requesting Vice-President's office, and processes the capitalization entry.

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## 8. SAMPLE FORMAT - SUMMARY OF REQUEST FOR CAPITALIZATION OF UNRESTRICTED FUNDS

Source of Funds (including COA)	Proposed amount to be Capitalized	Name of new or existing endowment	Summary Purpose of new or existing endowment	Summarize why in best interest to capitalize
Royalties (210-799999)	\$60,000	New – Research Initiatives	Support faculty research.	To establish a fund that provides ongoing support for research programs
Undesignated Donations	\$50,000	E9999 – J Smith Award	E999 – Graduate scholarship in	To match donations to provide for an

(210-799999-79321)			memory of a staff member and eminent researcher	annual award
Total (must be \$50,000 or greater)	\$110,000			

## 9. SUMMARY OF SUPPORTING DOCUMENTATION TO ACCOMPANY REQUEST

Attach the following details for each endowment:

- a. Details on the composition of the source of funding
- b. An explanation of why funds available and why it is in the best interest of the University to permanently endow
- c. Summary of past three years of faculty requests for capitalization of unrestricted funds
- d. Certification and support required if capitalizing to an existing endowment
- e. Certification and support required if capitalizing to a new endowment
- f. For new endowments provide detailed documents that support the terms of reference
- g. Any other relevant supporting documentation that will assist in the administrative review and approval process

## DEFINITIONS

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

<b>Permanent restricted endowment</b>	A "charitable purpose trust" which is held by the University Board of Governors as trustee and not in its own right.
<b>Unit</b>	Unit is used to describe the major central services units.

## FORMS

There are no forms for this Procedure. [[▲Top](#)]

## RELATED LINKS

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## PUBLISHED PROCEDURES OF THE PARENT POLICY

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**OUTLINE OF ISSUE**

 Agenda Title: **Postdoctoral Fellows Policy**

**Motion:** THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve an editorial revision in the Postdoctoral Fellows Policy to reflect the recent change in the administrative reporting of the Postdoctoral Fellows Office.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Vice-President (Research)
Presenter	Lorne A Babiuk, Vice-President (Research)
Subject	Postdoctoral Fellows Policy

**Details**

Responsibility	Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To revise the Postdoctoral Fellows Policy to reflect the recent change in the administrative reporting of the Postdoctoral Fellows Office (PDFO) from the Faculty of Graduate Studies and Research to the Office of the Vice-President (Research). This revision also reflects the change in delegated authority to the Vice-President (Research) from the Vice-Provost and Dean, Faculty of Graduate Studies and Research.
The Impact of the Proposal is	To align UAPPOL Policy with the current administrative reporting of the PDFO
Replaces/Revises (eg, policies, resolutions)	Revises UAPPOL: Postdoctoral Fellows Policy
Timeline/Implementation Date	Effective upon approval by the Board of Governors – targeted for 9 December 2011
Estimated Cost	N/A
Sources of Funding	N/A
Notes	The reporting of the Postdoctoral Fellows Office was recently moved from the Faculty of Graduate Studies and Research to the Office of the Vice-President (Research). No changes in the functioning of the PDFO have resulted from this administrative re-alignment. The Vice-Provost and Dean, Faculty of Graduate Studies and Research, was fully supportive of this change in reporting.

**Alignment/Compliance**

Alignment with Guiding Documents	Dare to Discover – Cornerstone 4: Transformative Organization and Support; Dare to Deliver Academic Plan 2011-2015: Talented People
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p>a. Board Human Resources and Compensation Committee Terms of Reference: 3. Mandate of the Committee</p> <p>“The Committee shall review, evaluate and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.”</p> <p>b. University Policy and Procedure</p>

**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Carl Amrhein, Provost and Vice-President (Academic) – June 2011  Mazi Shirvani, Vice-Provost and Dean, Faculty of Graduate Studies and Research – August 2011  Marion Haggarty-France, University Secretary – September 2011
Approval Route (Governance) (including meeting dates)	Board Human Resources and Compensation Committee – 29 November Board of Governors – 9 December
Final Approver	Board of Governors

**Attachments**

1. Attachment 1 Postdoctoral Fellows Policy – tracked changes
2. Attachment 2 Postdoctoral Fellows Policy – with tracked changes accepted
3. Attachment 3 Postdoctoral Fellows Appointment Procedure – for information
4. Attachment 4 Postdoctoral Fellows Dispute Resolution Procedure – for information
5. Attachment 5 Postdoctoral Fellows Discipline Procedure – for information

*Prepared by:* Katharine Moore, Office of the Vice-President (Research); [katharine.moore@ualberta.ca](mailto:katharine.moore@ualberta.ca)

<b>Go to:</b>	<a href="#">[Overview]</a>	<a href="#">[Purpose]</a>	<a href="#">[POLICY]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[RELATED LINKS]</a>
This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.					

## Postdoctoral Fellows Policy

<b>Office of Accountability:</b>	Office of the Vice-President (Research) and Office of the Provost and Vice-President (Academic)
<b>Office of Administrative Responsibility:</b>	Postdoctoral Fellows Office
<b>Approver:</b>	Board of Governors
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

**Postdoctoral Fellows (PDFs)** are valued members of the University community and make an indispensable contribution to the research environment of the University.

The Board of Governors has the authority to manage and to operate the University, pursuant to the *Post-Secondary Learning Act* of Alberta section 60(1)(a); PDFs are appointed as part of the academic activities of the University of Alberta.

### Purpose

To state the University's position on PDFs.

### POLICY

Compliance with University policy extends to all members of the University community. [\[▲Top\]](#)

1. At the University of Alberta, PDFs are considered trainees rather than employees by the University. As such,
  - a. initial appointments must occur within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent. These time limits may only be extended by the ~~Dean, Faculty of Graduate Studies and Research~~ [Vice-President \(Research\) or designate](#), due to circumstances requiring an interruption in the PDF's research career (eg medical necessity or parental responsibilities).
  - b. appointments are for a limited period of time, from a minimum of three months to a maximum of three years, with the possibility of renewal to a maximum total time as a PDF of five years (including previous PDF appointments). For those not holding permanent resident status, extension of the appointment will be subject to immigration approval.
  - c. PDFs train under the general supervision of a **faculty member(s)**, as a member of a research group or as an individual researcher, and may assist with the supervision of graduate students.
  - d. PDFs may apply in open competition for a faculty position.

- e. with the prior agreement of the supervising faculty member(s), PDFs may undertake teaching responsibilities up to a maximum of one full course per term.
  - f. PDFs may be issued time-limited work permits for positions granting a stipend or salary. They are exempt from advance approval from Service Canada under confirmation exemption code C44 of the Citizenship and Immigration Canada's *FW1 Foreign Worker Manual* (pages 22, 23, 43 and 44).
2. Individual faculty members or a group of faculty in consultation with the **unit head** may invite a PDF to join them as a trainee in a collegial relationship. The faculty member(s)
    - a. is responsible for sending out the appointment letter to the PDF, which stipulates the terms and conditions of the appointment.
    - b. is responsible for the determination of the nature and scope of the scholastic and research activities and for supervision and feedback with respect to those activities.
    - c. and the department unit head are responsible for ensuring that there is sufficient office and/or laboratory space for PDFs.
    - d. will provide an environment wherein other applicable skills and/or knowledge may be acquired by the PDF (e.g. career planning, teaching experience, team/collaborative research, and specific career skills, which may include writing grant applications, critiquing papers and proposals, managing a laboratory, mentoring students, communication with non-specialists, and multi-disciplinary research).
    - e. is responsible, with the PDF, for developing at the start of the appointment period a clear understanding of rights and obligations under the policies and procedures on research, patents, conflict of interest, fraud and any other relevant issues.
    - f. will ensure that PDFs are appropriately recognized for their contributions in research outcomes, including publications, and patents, teaching and service to the University.
    - g. will provide whatever resources are required to support the collaborative research activities.
    - h. All PDFs and their eligible dependents must be enrolled in the University Postdoc Supplemental Health Insurance Plan, unless their spouse/partner has comparable coverage.
  3. All PDFs, both on and off campus, must be registered and administered through the **PDF Office**, regardless of whether the funding comes directly from the **funding agency** or through the University.
  4. PDFs must
    - a. comply with all University and applicable funding agency policies and procedures.
    - b. comply with the provincial and federal legislation and any **professional codes of ethics** governing the practice of their discipline.
    - c. be responsible as a precondition to contact a Canadian embassy, consulate or visa office abroad to arrange an appropriate work permit and, if required, a temporary resident visa and/or medical examination if they are neither Canadian citizens nor permanent residents.
  5. **Disputes** involving PDFs and another member of the University community shall be resolved in accordance with the *Postdoctoral Fellows Dispute Resolutions Procedure*.
  6. A formal complaint against a PDF shall be addressed according to the *Postdoctoral Fellows Discipline Procedure*. Nothing shall prevent the University from referring an individual matter to the appropriate law enforcement agency or professional body should such action be considered necessary.
  7. PDFs may receive a Certificate of Postdoctoral Study recognizing completion of their appointment. The certificate is not an academic credential.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. <a href="#">[▲Top]</a>	
<b>Postdoctoral Fellows (PDFs)</b>	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
<b>Faculty Member</b>	University faculty member who has been designated to oversee the activities associated with the scholastic opportunity of the PDF.
<b>Unit Head</b>	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute.
<b>Postdoctoral Fellows (PDF) Office</b>	The office that has been designated to register the PDFs at the University and to provide formal administrative services.
<b>Funding Agency</b>	Either the University or another institution or agency ( <del>such as Alberta Heritage Foundation for Medical Research or government</del> ) that provides the funding to the PDF.
<b>Professional Codes of Ethics</b>	All provincial and federal Codes of Ethics or Codes of Conduct governing the relevant profession and the practice of its discipline.
<b>Dispute</b>	A serious disagreement between a PDF and another member of the University community regarding matters other than the violation of University policy and procedures.
<b>Discipline</b>	Administrative consequences for dealing with a formal complaint brought against a PDF who has violated University policies or procedures.

## **FORMS**

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[Postdoctoral Fellows' Letter of Offer](#) (University of Alberta)

[Request for Certificate of Completion Form](#) (University of Alberta)

## **RELATED LINKS**

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[FW1 Foreign Worker Manual](#), Confirmation Exemption Code C44 [pages 22, 23, 43 and 44] (Citizenship and Immigration Canada)

[Conflict Policy - Conflict of Interest and Commitment, and Institutional Conflict](#) (University of Alberta)

[Fraud Policy - Reporting and Response to Incidents of Fraud and Irregularity](#) (University of Alberta)

[Immigration and Refugee Protection Act](#) [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)] (Government of Canada)

[Patent Policy](#) (University of Alberta)

[Postdoctoral Fellows Office](#) (University of Alberta)

[Post-Secondary Learning Act](#) (Government of Alberta)

[Research Policy](#) (University of Alberta)

<b>Go to:</b>	<a href="#">[Overview]</a>	<a href="#">[Purpose]</a>	<a href="#">[POLICY]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[RELATED LINKS]</a>
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This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.

## Postdoctoral Fellows Policy

<b>Office of Accountability:</b>	Office of the Vice-President (Research) and Office of the Provost and Vice-President (Academic)
<b>Office of Administrative Responsibility:</b>	Postdoctoral Fellows Office
<b>Approver:</b>	Board of Governors
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

**Postdoctoral Fellows (PDFs)** are valued members of the University community and make an indispensable contribution to the research environment of the University.

The Board of Governors has the authority to manage and to operate the University, pursuant to the *Post-Secondary Learning Act* of Alberta section 60(1)(a); PDFs are appointed as part of the academic activities of the University of Alberta.

### Purpose

To state the University's position on PDFs.

## POLICY

Compliance with University policy extends to all members of the University community. [\[▲Top\]](#)

1. At the University of Alberta, PDFs are considered trainees rather than employees by the University. As such,
  - a. initial appointments must occur within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent. These time limits may only be extended by the Vice-President (Research) or designate, due to circumstances requiring an interruption in the PDF's research career (eg medical necessity or parental responsibilities).
  - b. appointments are for a limited period of time, from a minimum of three months to a maximum of three years, with the possibility of renewal to a maximum total time as a PDF of five years (including previous PDF appointments). For those not holding permanent resident status, extension of the appointment will be subject to immigration approval.
  - c. PDFs train under the general supervision of a **faculty member(s)**, as a member of a research group or as an individual researcher, and may assist with the supervision of graduate students.
  - d. PDFs may apply in open competition for a faculty position.
  - e. with the prior agreement of the supervising faculty member(s), PDFs may undertake teaching responsibilities up to a maximum of one full course per term.



- f. PDFs may be issued time-limited work permits for positions granting a stipend or salary. They are exempt from advance approval from Service Canada under confirmation exemption code C44 of the Citizenship and Immigration Canada's *FW1 Foreign Worker Manual* (pages 22, 23, 43 and 44).
2. Individual faculty members or a group of faculty in consultation with the **unit head** may invite a PDF to join them as a trainee in a collegial relationship. The faculty member(s)
    - a. is responsible for sending out the appointment letter to the PDF, which stipulates the terms and conditions of the appointment.
    - b. is responsible for the determination of the nature and scope of the scholastic and research activities and for supervision and feedback with respect to those activities.
    - c. and the department unit head are responsible for ensuring that there is sufficient office and/or laboratory space for PDFs.
    - d. will provide an environment wherein other applicable skills and/or knowledge may be acquired by the PDF (e.g. career planning, teaching experience, team/collaborative research, and specific career skills, which may include writing grant applications, critiquing papers and proposals, managing a laboratory, mentoring students, communication with non-specialists, and multi-disciplinary research).
    - e. is responsible, with the PDF, for developing at the start of the appointment period a clear understanding of rights and obligations under the policies and procedures on research, patents, conflict of interest, fraud and any other relevant issues.
    - f. will ensure that PDFs are appropriately recognized for their contributions in research outcomes, including publications, and patents, teaching and service to the University.
    - g. will provide whatever resources are required to support the collaborative research activities.
    - h. All PDFs and their eligible dependents must be enrolled in the University Postdoc Supplemental Health Insurance Plan, unless their spouse/partner has comparable coverage.
  3. All PDFs, both on and off campus, must be registered and administered through the **PDF Office**, regardless of whether the funding comes directly from the **funding agency** or through the University.
  4. PDFs must
    - a. comply with all University and applicable funding agency policies and procedures.
    - b. comply with the provincial and federal legislation and any **professional codes of ethics** governing the practice of their discipline.
    - c. be responsible as a precondition to contact a Canadian embassy, consulate or visa office abroad to arrange an appropriate work permit and, if required, a temporary resident visa and/or medical examination if they are neither Canadian citizens nor permanent residents.
  5. **Disputes** involving PDFs and another member of the University community shall be resolved in accordance with the *Postdoctoral Fellows Dispute Resolutions Procedure*.
  6. A formal complaint against a PDF shall be addressed according to the *Postdoctoral Fellows Discipline Procedure*. Nothing shall prevent the University from referring an individual matter to the appropriate law enforcement agency or professional body should such action be considered necessary.
  7. PDFs may receive a Certificate of Postdoctoral Study recognizing completion of their appointment. The certificate is not an academic credential.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended
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institution-wide use. <a href="#">[▲Top]</a>	
<b>Postdoctoral Fellows (PDFs)</b>	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
<b>Faculty Member</b>	University faculty member who has been designated to oversee the activities associated with the scholastic opportunity of the PDF.
<b>Unit Head</b>	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute.
<b>Postdoctoral Fellows (PDF) Office</b>	The office that has been designated to register the PDFs at the University and to provide formal administrative services.
<b>Funding Agency</b>	Either the University or another institution or agency that provides the funding to the PDF.
<b>Professional Codes of Ethics</b>	All provincial and federal Codes of Ethics or Codes of Conduct governing the relevant profession and the practice of its discipline.
<b>Dispute</b>	A serious disagreement between a PDF and another member of the University community regarding matters other than the violation of University policy and procedures.
<b>Discipline</b>	Administrative consequences for dealing with a formal complaint brought against a PDF who has violated University policies or procedures.

## **FORMS**

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[Postdoctoral Fellows' Letter of Offer](#) (University of Alberta)

[Request for Certificate of Completion Form](#) (University of Alberta)

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[FW1 Foreign Worker Manual](#), Confirmation Exemption Code C44 [pages 22, 23, 43 and 44] (Citizenship and Immigration Canada)

[Conflict Policy - Conflict of Interest and Commitment, and Institutional Conflict](#) (University of Alberta)

[Fraud Policy - Reporting and Response to Incidents of Fraud and Irregularity](#) (University of Alberta)

[Immigration and Refugee Protection Act](#) [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)] (Government of Canada)

[Patent Policy](#) (University of Alberta)

[Postdoctoral Fellows Office](#) (University of Alberta)

[Post-Secondary Learning Act](#) (Government of Alberta)

[Research Policy](#) (University of Alberta)

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This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Postdoctoral Fellows Appointment Procedure

<b>Office of Administrative Responsibility:</b>	Postdoctoral Fellows Office
<b>Approver:</b>	Office of the Vice-President (Research)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Purpose

To describe appointment procedures for **Postdoctoral Fellows** (PDFs).

### PROCEDURE

Compliance with University procedure extends to all members of the University community. [\[▲Top\]](#)

#### 1. RECRUITMENT

PDFs are not employees of the University. Despite that, when recruiting PDFs, **faculty members** must adhere to relevant legislation, such as the *Human Rights, Citizenship and Multiculturalism Act*. Information on human rights legislation is available from the Office of Safe Disclosure & Human Rights. Faculty Members will consider the University's employment equity goals when recruiting PDFs. Citizenship and Immigration Canada (CIC) states that PDFs are exempt from employment confirmation (ie, Canadians/Permanent Residents are to be given priority).

Recruitment for such appointments varies; it can take place through recommendation by a faculty member at another university, through networking at conferences, by awarding of a fellowship through a **funding agency**, or by advertising in appropriate journals or newspapers.

For PDFs in the sciences, the customary pattern is to seek to broaden research expertise under the guidance of an established researcher. For those in the humanities, the customary pattern is to embark on a new research project with guidance from and in consultation with an experienced faculty member(s). In all disciplines, an important objective is to strengthen the publication record, curriculum vitae (cv), and where appropriate teaching dossier, thereby building a reputation and enhancing the chances of securing a more permanent faculty or research position.

#### 2. SELECTION

Most often, a faculty member who has funding to support a PDF will conduct the selection process personally, or with other faculty members if there is joint funding for the position, using phone calls, e-mail, faxes, letters of reference, recommendations, and copies of research papers to assist in the decision process.

Killam fellowships are awarded by an adjudication process established by the University; fellowships

funded by external agencies are awarded by an adjudication process established by each external agency.

### 3. APPOINTMENT

#### a. Offer Letter

The letter inviting the individual to come to the University must be signed by the faculty member(s) and **unit head**. By signing the letter the unit head accepts the PDF into the department.

The letter of invitation is to specify:

- i. The term of appointment as a PDF (if appointing for an initial three years, the contract should contain a condition of review after one year and subsequent continuation dependent upon a satisfactory performance review)
- ii. Name of supervising faculty member(s) and unit head
- iii. That it is not an employment contract but rather that the PDF will be classified as a trainee at the University
- iv. Funding agency(s)
- v. Stipend arrangements including capability of providing scale and/or increment adjustments
- vi. Benefit arrangements
- vii. Nature of the research to be undertaken
- viii. Leave with pay
- ix. Teaching duties, if assigned, to a maximum load of one full course per term
- x. Office location
- xi. Any special conditions, eg, subject to immigration approval (if applicable)

The PDF signs this letter of invitation to indicate acceptance and returns it to the faculty member. The Faculty Member forwards a copy of the acceptance to the **Postdoctoral Fellows (PDF) Office**; the new PDF will then be sent a welcome package by the PDF Office.

### 4. DOCUMENTATION

For an individual to be registered as a PDF at the University, all appropriate documentation is to be completed and submitted to the PDF Office (*ie*, offer letter, registration form, cv, degree certificate, appointment form, and if appropriate a work permit).

### 5. IMMIGRATION

PDFs who are neither Canadian Citizens nor permanent residents may be issued time-limited work permits for positions granting a stipend or salary. They are exempt from advance approval from Service Canada under confirmation exemption code C44 of the Citizenship and Immigration's FW1 *Foreign Worker Manual* (pages 22, 23, 43 and 44).

Failure to obtain proper authorization from Citizenship and Immigration Canada automatically cancels the PDF's appointment without further recourse. See, *Immigration and Refugee Protection Act*, [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)].

PDFs cannot legally be moved to positions as Research Associates without prior advertising of the

position, prior approval by Service Canada and, a new work permit. See, *Immigration and Refugee Protection Act*, [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)].

## 6. ORIENTATION

- a. The PDF Office will host regular orientations to the University.
- b. Orientation to the Department/Faculty

The faculty member and the unit are responsible for specific orientation of PDFs to the University. Departmental or faculty administrators prepare written materials about services, procedures and standards in the department and faculty, as well as useful contacts at the University.

The faculty member is responsible for orientation of the research location, and for providing information about performance expectations, expectation of research effort, safety procedures and ethical/scholarly integrity issues.

## 7. STIPEND

Stipend ranges for PDFs are governed by the regulations of the funding agency. For current information on stipends contact the PDF Office. Where no specific stipend is mandated, the PDF's stipend is based on his/her relevant experience and responsibilities.

Total stipend may exceed the regulated maximum of a single funding agency provided that other sources of funding are available.

The ability to provide scale and increment adjustments will be determined by the faculty member upon consideration of the available funding source(s).

## 8. BENEFITS

All PDFs and their eligible dependents must be enrolled in the University benefits plan, unless their spouse/partner has comparable coverage. The benefits are paid by the faculty member, except in the case of disciplines where the PDF is not training directly with a faculty member. For example, if the PDF does not co-publish with the faculty member or whose research is not connected with the faculty member's; the faculty member is simply serving in a supervisory capacity. In such circumstances, benefits will be covered by the home Faculty of the PDF or the Killam Trust Fund. The benefits are effective the first day of the month following the appointment date (eg if appointed January 1, benefits become effective February 1). For details refer to <http://www.postdoc.ualberta.ca/HealthCoverage/SupplementalHealthCare.aspx>

## 9. RENEWAL

A PDF's appointment will automatically cease at the end of the term of appointment. In some instances an appointment may be renewable; provided that the PDF still falls within the definition of a PDF and that the renewal would not normally exceed the total time limit of five years.

The PDF must receive a renewal letter outlining the terms of the renewal and it must be signed by the faculty member(s) and unit head. The PDF signs this renewal letter to indicate acceptance and returns it to the faculty member. The faculty member forwards a copy of the acceptance to the PDF Office.

## 10. TEACHING

Some PDFs have expressed an interest in obtaining teaching experience.

Faculty members should determine in advance of making any teaching appointment if there are any funding agency restrictions to whether teaching can be assigned to a PDF.

PDFs may be involved in undergraduate and graduate lecturing, laboratory instruction, tutorials, supervision of undergraduate projects, and assistance with the supervision of graduate students.

PDFs should discuss with the faculty member their desire to participate in the teaching activities of the department. In cases of formal assignment of teaching duties the maximum load is one full course per term (3 course weights). For teaching assignments, PDFs will be appointed as temporary academic staff under the appropriate employment terms and be considered an employee of the University. The salary for the teaching activities will be drawn from the department operating funds and will be subject to withholding by the University for Canada Pension Plan and Employment Insurance.

## 11. PRIVILEGES

PDFs are eligible for a University ONEcard, which provides full library privileges and access to a campus computing ID and password. PDFs may also apply and pay for the following:

- a. a privilege card for use of the physical education and recreation facilities
- b. membership in the Faculty Club
- c. a parking permit

## 12. LEARNING AND DEVELOPMENT

Some PDFs may wish to further their professional development experience. A self-directed Professional Development Program for PDFs is available. For details contact the Postdoctoral Fellows Office: <http://www.postdoc.ualberta.ca/ContactUs.aspx>.

It is important that Faculty Members provide PDFs the opportunity to attend workshops and presentations to enhance their career development.

## **DEFINITIONS**

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<b>Postdoctoral Fellows (PDFs)</b>	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
<b>Faculty Member</b>	University faculty member who has been designated to oversee the activities associated with the scholastic opportunity of the PDF.
<b>Funding Agency</b>	Either the University or another institution or agency that provides the funding to the PDF.
<b>Unit Head</b>	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute

**PDF Office**

The office that has been designated to register the PDFs at the University and to provide formal administrative services.

**FORMS**

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[Postdoctoral Fellows' Letter of Offer](#) (University of Alberta)

[Postdoctoral Fellows' Renewal Letter](#) (University of Alberta)

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[FW1 Foreign Worker Manual](#), Confirmation Exemption Code C44 [pages 22, 23, 43 and 44] (Government of Canada)

[Human Rights, Citizenship and Multiculturalism Act](#) (Government of Alberta)

[Immigration and Refugee Protection Act](#) [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)] (Government of Canada)

[Office of Safe Disclosure and Human Rights](#) (University of Alberta)

[Patent Policy](#) (University of Alberta)

[Postdoctoral Fellows Benefits Health Plan](#) (University of Alberta)

[Postdoctoral Fellows Office](#) (University of Alberta)

[Research Policy](#) (University of Alberta)



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This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Postdoctoral Fellows Dispute Resolution Procedure

<b>Office of Administrative Responsibility:</b>	Postdoctoral Fellows Office
<b>Approver:</b>	Office of the Vice-President (Research)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

The relationship between **Postdoctoral Fellows (PDFs)** and **faculty members** normally is close and productive; however, conflicts may arise between PDFs and faculty members. Every effort should be made to resolve disputes quickly.

### Purpose

To require informal and formal **dispute** resolution procedures.

## PROCEDURE

Compliance with University procedure extends to all members of the University community. [▲Top](#)

1. Attempts to resolve disputes informally between PDFs and another member of the University community are strongly recommended.

Either party involved in a dispute shall attempt first to resolve the dispute by meeting with the other party involved.

If the parties are not able to resolve the dispute, either party shall consult with the **unit head**.

If the unit head believes it to be beneficial, the unit head shall arrange for the necessary consultation and mediation.

When the dispute involves a PDF's academic performance, the PDF's supervising faculty member(s) shall still attempt to resolve the dispute informally, but shall follow a progressive corrective action process, including documentation of discussions, counseling, verbal and written warnings.

If an issue cannot be resolved at the department level, either party in the dispute may consult the Vice-President (Research) or designate in attempting to find a resolution.

If the Vice-President (Research) or designate concludes that the dispute warrants consideration under a disciplinary procedure, the Vice-President (Research) or designate shall advise all parties of appropriate policies and procedures (either *Postdoctoral Fellows Disciplinary Procedure* or the relevant collective agreement(s)).

If the dispute cannot be resolved informally and the dispute does not warrant discipline procedures, the following formal dispute resolution shall be followed.

2. When the **respondent** is governed by a collective agreement the procedures shall conform to the provisions of the relevant agreement.

The **complainant** must write to the unit head, providing written details of the nature of the dispute, attempts made to resolve the issue, and the remedy sought.

The unit head shall investigate and attempt to resolve the dispute. If there is no resolution, the unit head will make a decision in writing. The decision must be made within five working days of receipt of written notification of the dispute.

Either party may appeal this decision in writing, stating the nature of the dispute and a proposed resolution, to the Vice-President (Research) or designate within five working days of receipt of written notification of the unit head's decision. The Vice-President (Research) or designate shall investigate and make a decision in writing regarding the dispute. The decision of the Vice-President (Research) or designate is final and binding.

The decision of the unit head and the Vice-President (Research) or designate may include:

- a. Directions to the complainant and respondent designed to improve their working relationship.
- b. A referral to another dispute resolution process contained in any University policies or applicable collective agreements.
- c. Any other orders that the unit head or the Vice-President (Research) or designate consider appropriate that are consistent with University policies and any applicable collective agreements.

The Vice-President (Research) or designate may extend any deadlines under this procedure and shall so advise the parties, in writing.

## **DEFINITIONS**

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<b>Postdoctoral Fellows (PDFs)</b>	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
<b>Faculty Member</b>	University faculty member who has been designated to oversee the activities associated with the scholastic opportunity of the PDF.
<b>Dispute</b>	A serious disagreement between a PDF and another member of the University community regarding matters other than the violation of University policy and procedures.
<b>Unit Head</b>	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute.
<b>Respondent</b>	The person who replies to an appeal.
<b>Complainant</b>	Any person who has initiated a complaint against a PDF or a PDF who has initiated a complaint against another member of the University community under this set of procedures.

## **FORMS**

There are no forms for this Procedure. [[▲Top](#)]

## **RELATED LINKS**

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This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Postdoctoral Fellows Discipline Procedure

<b>Office of Administrative Responsibility:</b>	Postdoctoral Fellows Office
<b>Approver:</b>	Office of the Vice-President (Research)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Purpose

The following procedure provides a mechanism for dealing with complaints against **Postdoctoral Fellows (PDFs)** regarding behaviour that does not comply with University policies and procedures.

### PROCEDURE

Compliance with University procedure extends to all members of the University community. [\[▲Top\]](#)

#### 1. APPLICATION

- a. The Postdoctoral Fellows **Discipline** Procedure shall be followed for all complaints against PDFs except:
  - i. when the alleged conduct is, or has the potential to be, disruptive, threatening or violent, in which case the procedures of GFC §91, the *Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct*, shall be followed; or
  - ii. when the alleged conduct is an offense under the University of Alberta Research and Scholarship Integrity Policy, in which case the procedures of *University of Alberta Research and Scholarship Integrity Policy*, shall be followed.
- b. This procedure applies to all conduct by a PDF (or PDFs) that relates to the University, **university activities**, the **university community**, or **university-related functions**.
- c. The determination of whether any conduct relates to the University may be made by any person or body authorized to make decisions in this procedure. This determination may be appealed according to the appeal procedure described herein as part of an appeal provided for by this procedure.

#### 2. RIGHT TO AN ADVISOR

Any PDF who is the subject of a complaint under this procedure, or any other person involved in a complaint as a **complainant**, **appellant**, or **respondent**, has the right to consult with an advisor; to be accompanied and assisted at any investigative meeting with the -Vice-President (Research) [or delegate, or the **investigator**] to be accompanied and assisted at an appeal hearing; and to be advised of these rights.

#### 3. INITIATION OF A COMPLAINT

- a. Anyone who believes, on reasonable grounds, that a PDF has failed to comply with University policies or procedures, may lodge a complaint to the Vice-President (Research). The complaint must:
  - i. be in writing;
  - ii. contain a description of the act or omission being complained about and the location and time of its occurrence;
  - iii. identify the accused; and
  - iv. be signed by the complainant.
- b. If the written complaint is not received by the Vice-President (Research), within six months of the date the alleged conduct became known or ought reasonably to have been known, the matter shall be considered as closed, and will not be acted on by the Vice-President (Research) or designate. In exceptional circumstances, the Vice-President (Research) or designate, may waive this clause.
- c. No person may take action against a complainant or others involved in the proceedings, except when a complaint is believed to have been mischievous or malicious. When a complaint is believed, on reasonable grounds, to have been mischievous or malicious, the accused PDF may pursue a complaint under the relevant staff or student policy. A complaint of a mischievous or malicious allegation must be filed within one year of the date on which the original complaint was dismissed.

#### 4. RECEIPT OF A COMPLAINT

- a. On receipt of a complaint, the Vice-President (Research) or designate, shall immediately send a copy of it to the PDF and advise the PDF of the right to have an advisor present at all meetings regarding the complaint.
- b. The Vice-President (Research) or designate, shall, within five **working days** following receipt of the complaint, make one of the following decisions, and so advise the PDF and complainant, in writing:
  - i. to authorize an investigation of the complaint; or
  - ii. to dismiss the complaint; or
  - iii. to advise that the matter would be more appropriately handled under the *PDF Dispute Resolutions Procedure* because the Vice-President (Research) or designate, does not believe the matter to be a discipline issue.
  - iv. If the Vice-President (Research) or designate, dismisses the complaint, the matter ends with that decision.

#### 5. EXTENSION OF DEADLINES

The Vice-President (Research) or designate, may extend any deadlines under this policy and shall so advise the parties, in writing.

#### 6. EFFECT OF PROCEDURES IN OTHER FORUMS

Normally, the Vice-President (Research) or designate, will proceed even if a written complaint is or becomes the subject of an investigation by the *Human Rights, Citizenship and Multiculturalism Act* or the subject of criminal or civil court proceedings. However, the Vice-President (Research) or designate will have the discretion to suspend an investigation if it is determined to be in the best interests of the University.

#### 7. INVESTIGATION OF A COMPLAINT

- a. If the Vice-President (Research) or designate, authorizes an investigation of the complaint, the Vice-President (Research) or designate, shall, within five working days, appoint a person

to carry out an investigation to be completed within a timely matter.

#### Investigation Process

- i. The investigator shall issue a Notice of Investigation to the PDF and Complainant within two working days of authorization of the Investigation. The Notice shall include:
  1. an invitation to the PDF and Complainant to meet with the Investigator within 10 working days of receipt of the Notice;
  2. a reminder that either party may be accompanied by an Advisor; and
  3. an invitation to the PDF to submit a written response to the complaint within 10 working days of receipt of the Notice
- ii. The investigator shall examine all sources of evidence that he or she deems relevant to the complaint.
- iii. The investigator shall offer the PDF and the complainant an opportunity to review the evidence prior to writing his or her report. The investigator shall submit a written report to the Vice-President (Research), and shall send a copy to the PDF and the complainant in a timely matter.

#### 8. RESPONSE TO THE INVESTIGATION REPORT

The PDF and the complainant may each submit a written response to the investigation report to the Vice-President (Research), within 10 working days of receipt of the report. The Vice-President (Research) or designate, shall send a copy of each response to the other party.

- a. The PDF and the complainant may submit written rebuttals to the responses, within 10 working days of receipt of the responses. Unless the Vice-President (Research) or designate, requests further submissions, these rebuttal statements shall be the final submissions under the complaint.
- b. The Vice-President (Research) or designate, may decide to carry out a further investigation and write a supplementary report. A copy shall be sent to the PDF and the complainant in a timely manner.

The PDF and the complainant may submit written rebuttals to the supplementary report of the Vice-President (Research) or designate, within five working days. These rebuttals will constitute the final submissions.

#### 9. DECISION OF THE Vice-President (Research) or Designate

After consideration of the report, responses, rebuttals, and supplementary report if applicable, the Vice-President (Research) or designate, shall either dismiss the complaint or discipline the PDF.

- a. Any sanction may include one or more of the following:
  - i. letter of reprimand;
  - ii. fine (to be deposited in the Killam Advanced Studies Endowment);
  - iii. restitution;
  - iv. suspension of appointment with or without pay;
  - v. notify funding agency that appointment has been suspended;
  - vi. termination of appointment;
  - vii. notify funding agency that appointment has been terminated;

- viii. exclusion (prohibits or restricts the PDF's presence on campus and participation in any University activity or PDF affair for either a specified time or for an indefinite period of time. A PDF may be excluded from all or a specified part of the University);
  - ix. any other appropriate sanctions.
- b. The Vice-President (Research) or designate, shall provide the decision in writing, including
- i. the determination of whether the complaint will be dismissed or sanctions will be imposed;
  - ii. any sanction(s) imposed by the Vice-President (Research) or designate;
    - 1. the date any sanction(s) shall take effect;
    - 2. information regarding the PDF's rights to appeal, the deadlines to appeal, and the procedures for appeal, and where on-campus assistance is available.
- c. The Vice-President (Research) or designate shall send the written decision to the following individuals:
- i. the PDF;
  - ii. the Complainant;
  - iii. the PDF's supervisor;
  - iv. the **Unit Head** in which the PDF holds his or her appointment;
  - v. the Dean of the Faculty in which the PDF holds his or her appointment; and
  - vi. any other individual deemed appropriate by the Vice-President (Research) or designate.
- d. This decision of the Vice-President (Research) or designate may be appealed in accordance with §10.

## 10. APPEALS

- a. Right of Appeal
- i. When Vice-President (Research) or designate has made a decision under §9, either the PDF or the complainant may appeal that decision.
  - ii. The appeal shall be based on a denial of the offence and/or the severity of the sanction. A defect in procedures shall not warrant the quashing of the decision being appealed unless the defect can reasonably be said to have deprived either party of a fair hearing.
  - iii. The written appeal must be submitted to the PDF Office within five working days of receipt of the decision. The written appeal must state the full grounds of appeal, the relief requested, and must be signed by the appellant.
  - iv. The Vice-President (Research) (or designate) shall be the respondent to the appeal.
- b. PDF Appeals Committee
- i. For each hearing the PDF Appeals Committee (PDFAC) shall consist of a member of the Postdoctoral Fellows Association (PDFFA) selected by the PDFFA; one member selected by the Dean, Faculty of Graduate Studies and Research (FGSR); and a chair, selected jointly by the PDFFA and the Dean, FGSR. All members must be from the University community.
  - ii. Meetings of the PDFAC shall be scheduled as required to hear and determine appeals.

- iii. Hearings of the PDFAC are closed to members of the public and the university community, unless the PDFAC decides otherwise. Witnesses are present only during their questioning.
  - iv. The decision of the PDFAC shall be final and binding.
- c. Procedures Prior to Hearing
- i. As soon as an appeal is received, the PDF Office shall:
    - 1. provide the appellant with a written acknowledgement of the appeal;
    - 2. provide the respondent with a copy of the written appeal, and request a written response within five working days;
    - 3. notify the PDF Association and the Dean, FGSR of the appeal, and request selection of panel members within 10 working days;
    - 4. suspend any sanctions, *except exclusions*, imposed by the Vice-President (Research) or designate.
  - ii. When the panel has been selected, the PDF Office shall notify the Appellant and Respondent of their names. The Appellant and Respondent will have 5 working days to lodge a written challenge with the PDF Office requesting that a proposed member not serve on the panel.
  - iii. The Appellant and Respondent must notify the PDF Office immediately upon selecting an Advisor for the hearing, and must do so no later than 1 working day prior to the scheduled hearing.
  - iv. Upon receipt of the response, a copy will be provided to the Appellant.
  - v. Appeals are intended to proceed in a timely manner. The hearing date will normally be set to occur within 30 working days of receipt of the appeal.
  - vi. A witness list must be provided to the PDF Office by the Appellant and Respondent at least 5 working days prior to the scheduled hearing. The PDF Office shall ensure that as witnesses become known, the other party and the PDFAC are informed of the identity of the witnesses.
  - vii. The PDFAC Chair, in consultation with the PDF Office, shall decide any procedural questions that arise before the hearing.
  - viii. Either party may request, in writing, an extension of time limits. The PDFAC Chair may extend any of the time limits where he or she believes that there are reasonable grounds for the request. The decision of the PDFAC Chair may be made without a hearing and is final and binding.
  - ix. The PDFAC Chair, in consultation with the PDF Coordinator, shall set a date and time for the hearing.
  - x. The PDF Coordinator shall inform the PDFAC panel, the Appellant, and the Respondent of the date, time and place of the hearing.
  - xi. The PDF Coordinator shall provide the PDFAC panel members with copies of the appeal and response documents.
  - xii. If the PDF or the Complainant is not the Appellant, he or she may request permission to attend the full hearing of the appeal. The PDF Director shall inform the party or parties of this right, and shall forward any such request to the PDFAC Chair. The PDFAC Chair shall decide whether the PDF or Complainant may attend all or part of the hearing.



d. Hearing Proceedings

- i. The quorum shall be all three members of the PDFAC.

If a panel decides that there is need, the hearing can be adjourned. At the time of such adjournment, the panel will determine when it will reconvene the hearing.

A panel is empowered to establish further procedures if it determines that there are extraordinary circumstances in a given case to warrant such procedures.

The chair of a panel is empowered to make rulings on matters of procedures that might arise. The rulings are binding.

- ii. The following are the suggested guidelines for the hearing:

1. Opening statement by the Chair, to include:

- a. decision of the PDFAC as to whether the appeal falls within the jurisdiction of the PDFAC;
- b. confirmation that all relevant documents have been received and distributed to the appellant, respondent, and PDFAC members;
- c. review of the procedures of the hearing, including the order of appearance of witnesses, if any.

2. Opening statement by the appellant (and/or advisor).

3. Opening statement by the respondent (and/or advisor).

4. Questions (all of which are directed through the chair).

5. From the PDFAC to the appellant

- a. from the PDFAC to the respondent
- b. from the appellant and the respondent to each other or to the PDFAC
- c. the chair asks all present whether they have had sufficient opportunity to question

6. Appearance of witnesses, if any, one at a time (witnesses may ask questions about procedures)

- a. Witness(es) for the appellant

- i. questioned by the appellant
- ii. questioned by the respondent
- iii. questioned by the PDFAC

- b. Witness(es) for the respondent

- i. questioned by the respondent
- ii. questioned by the appellant
- iii. questioned by the PDFAC

- c. Witness(es) for the PDFAC

- i. questioned by the PDFAC
- ii. questioned by the appellant
- iii. questioned by the respondent

7. Closing statement by the appellant (not subject to questioning).
  8. Closing statement by the respondent (not subject to questioning)
  9. Hearing is adjourned by the Chair and PDFAC goes into in camera session to deliberate
- iii. The decision shall be by majority vote of the PDFAC.
  - iv. The written decision of the PDFAC shall normally be submitted to the PDF Coordinator within three working days of the hearing. The PDF Coordinator shall send a copy of the decision to the appellant and the respondent and any other involved parties.

## **DEFINITIONS**

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

<b>Postdoctoral Fellow (PDF)</b>	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
<b>Discipline</b>	Administrative consequences for dealing with a formal complaint brought against a PDF who has violated University policies or procedures.
<b>University Activities</b>	Include, but are not limited to, teaching, research, studying, learning, administration, meetings, and public service.
<b>University Community</b>	Includes employees of the University, individuals officially associated with the University, and students, former students, or alumni of the University.
<b>University-related Functions</b>	Include, but are not limited to, activities occurring in the course of work, study, or research assignments inside or outside the University; at work or study-related conferences or training sessions; during work or study-related travel; during events such as public lectures, performances, social or sports activities; or over the telephone or computer.
<b>Advisor</b>	A person who will assist the Appellant, Complainant or Respondent during the disciplinary process. Assistance may be provided by the OmbudService, legal counsel or another Advisor as the Appellant or Respondent choose. While the Ombudservice is provided at no cost, if the PDF chooses to obtain legal counsel, it will be at the PDF's own expense.
<b>Complainant</b>	Any person who has initiated a complaint against a PDF under this set of procedures.
<b>Appellant</b>	The individual who has appealed a discipline decision.

<b>Respondent</b>	The person who formally replies to an appeal.
<b>Investigator</b>	An academic staff member delegated by the Dean, FGSR to conduct an investigation of a complaint.
<b>Working Days</b>	A day on which University offices are open.
<b>Dispute</b>	A serious disagreement between a PDF and another member of the University community regarding matters other than the violation of University policy and procedures.
<b>Unit Head</b>	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute

## **FORMS**

There are no forms for this Procedure. [\[▲Top\]](#)

## **RELATED LINKS**

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

[Conflict Policy - Conflict of Interest and Commitment, and Institutional Conflict](#) (University of Alberta)

[Fraud Policy - Reporting and Response to Incidents of Fraud and Irregularity](#) (University of Alberta)

[Human Rights, Citizenship and Multiculturalism Act](#) (Government of Alberta)

[Patent Policy](#) (University of Alberta)

[Protocol for Urgent Cases of Disruptive, Threatening or Violent Conduct](#) (University of Alberta)

[Research and Scholarship Integrity Policy](#) (University of Alberta)

[Research Policy](#) (University of Alberta)

**OUTLINE OF ISSUE**

Agenda Title: **Negotiated Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*)**

**Motion:** THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, approve the negotiated changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*), as submitted by Faculty Relations (Office of the Provost and Vice-President (Academic)) and as set forth in Attachment 1, to take effect retroactively to August 8, 2011.

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Carl Amrhein, Provost and Vice-President (Academic)
Presenter	Carl Amrhein, Provost and Vice-President (Academic); Chris Cheeseman, Vice Provost and Associate Vice-President (Human Resources); Jay Spark, Vice Provost, Faculty Relations
Subject	Negotiated Amendments to the Administrative and Professional Officer (APO) Agreement

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The Association of Academic Staff – University of Alberta (AASUA) and the University Administration reached agreement on amendments to Article 12 ( <i>Probation and Continuing Appointment</i> ) of the APO Agreement during 2010-2011 compensation negotiations. The amendments were ratified by AASUA in August, 2011. The amendments are presented in the attached side-by-side format and require ratification by the Board of Governors.
The Impact of the Proposal is	Amendments to the APO Agreement.
Replaces/Revises (eg, policies, resolutions)	Previous provisions of the APO Agreement.
Timeline/Implementation Date	Amendments are retroactively effective August 8, 2011 (date of ratification by AASUA).
Estimated Cost	Cost neutral.
Sources of Funding	N/A
Notes	N/A

**Alignment/Compliance**

Alignment with Guiding Documents	<i>Dare to Discover, Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<ol style="list-style-type: none"> <li><b>Post-Secondary Learning Act (PSLA):</b> The PSLA gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)).</li> <li><b>Post-Secondary Learning Act (PSLA):</b> The Board has authority to employ officers, employees and academic staff (sections 83 and 84 of the Act).</li> <li><b>Post-Secondary Learning Act (PSLA):</b> GFC has authority to approve procedures relating to the appointment, promotion and</li> </ol>

dismissal of academic staff (Section 22(2)):

**“22(2)** A person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university except on the recommendation of the president made in accordance with procedures approved by the general faculties council.”

In addition, GFC may recommend to the Board of Governors on "procedures in respect of appointments, promotions, salaries, tenure and dismissals" of academic staff (Section 26(1)(o)):

**“26(1)** (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university[.] [...]”

**4. Board of Governors General Terms of Reference** (Section 1.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 responsibility except to the extent that such authority has been specifically limited by the Board in the Terms of Reference for the Committee.”

**5. Board Human Resources and Compensation Committee (BHRCC) Terms of Reference, Sections 3 and 4** state:

**“3. MANDATE OF THE COMMITTEE**

Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to and the Board delegates to the Committee responsibility and authority for all policies and procedures affecting staff working conditions at the University and matters for collective bargaining and related service contracts. The Committee shall also consider any other matter delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:  
(a) consider and propose changes to collective agreements and confirm the mandate for negotiating committees with all bargaining units;  
[...]

**4. LIMITATION ON DELEGATION BY THE BOARD**

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 3, the Board shall make all decisions with respect to:

	<p>(a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units; [...]and]</p> <p>(c) approval of collective agreements and any substantial revisions thereof [...] [.]”</p> <p><b>6. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (<i>Mandate of the Committee</i>)</b>, states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.</p> <p>1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).</p> <p>2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”</p>
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**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	2007-2010 Administrative Professional Officer (APO) Agreement Review Committee (ARC); 2010-2011 Compensation Negotiations
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (November 7, 2011) – for recommendation; Board Human Resources and Compensation Committee (BHRCC) (November 29, 2011) – for recommendation; Board of Governors (December 9, 2011) – for final approval
Final Approver	Board of Governors

## Attachments

- Attachment 1 (pages 1 – 6): Negotiated Changes to the Administrative and Professional Officer (APO) Agreement – Article 12 (*Probation and Continuing Appointment*) (Comparative Table Format)

Prepared by: Jay Spark, Vice-Provost (Faculty Relations), [jay.spark@ualberta.ca](mailto:jay.spark@ualberta.ca)

**MEMORANDUM OF UNDERSTANDING**

**Between:**

**THE ASSOCIATION OF ACADEMIC STAFF:  
UNIVERSITY OF ALBERTA**

**(“AASUA”)**

**- and -**

**THE GOVERNORS OF  
THE UNIVERSITY OF ALBERTA**

**(“University”)**

**Administrative and Professional Officers - Article 12 (Probation and Continuing Appointment)**

<b>Current</b>	<b>Amended</b>
<b>Article 12: Probation and Continuing Appointment</b>	<b>Article 12: Probation and Continuing Appointment</b>
12.01 In exercising the responsibility under 6.01, the Vice-President shall make appointments in accordance with this Article.	12.01 In exercising the responsibility under 6.01, the Vice-President shall make appointments in accordance with this Article.
12.02 A staff member shall be appointed to a probationary appointment unless the Vice-President approves a continuing appointment.	12.02 A staff member shall be appointed to a probationary appointment unless the Vice-President approves a continuing appointment.
12.03 The probationary appointment shall normally be for a period of two years.	12.03 The probationary appointment for a <i>staff member who is appointed for the first time under this Agreement</i> shall normally be for a period of two (2) years. A staff member shall be appointed to a two-year probationary period only once during his/her <i>continuous employment under this Agreement</i> .

<p>12.04 If the staff member is granted leave during the probationary appointment the probationary appointment shall be extended by the duration of such leave or by a longer period of time, unless the Vice-President in approving the leave decides that the extension is not warranted.</p>	<p>12.04 A staff <i>member under this Agreement</i> with a continuing appointment who is appointed to another <i>position under this Agreement</i> shall serve a reduced probationary period, as follows:</p> <p>a) <i>Up to and including seven (7)</i> years of service under this Agreement, a probationary period of up to twelve (12) continuous months</p> <p>b) <i>Longer than seven (7)</i> years of service under this Agreement, a probationary period of up to six (6) continuous months</p>
<p>12.05 The Supervisor shall keep the staff member apprised of progress during probation, and shall meet with the staff member at least twice yearly in order to discuss that progress.</p>	<p>12.05 If the staff member is granted leave during the <i>probationary period</i>, the probationary appointment shall be extended by the duration of such leave or by a longer period of time, unless the Vice-President in approving the leave decides that the extension is not warranted.</p>
<p>12.06 At least two months before the last day of the probationary appointment, the Supervisor shall advise the staff member in writing, whether or not the Supervisor will recommend a continuing appointment upon the completion of the probationary appointment.</p>	<p>12.06 The Supervisor shall keep the staff member apprised of progress during the probationary period, and shall meet with the staff member at least every <i>three (3)</i> months to discuss that progress.</p>
<p>12.07 The Supervisor shall forward the recommendation to the Vice-President.</p>	<p>12.07 <i>Completion of the probationary period</i></p> <p><i>To conclude the probationary period, the Supervisor will take the following action:</i></p>



	<p><b>a) For a staff member who is appointed for the first time under this Agreement and who has a two-year probationary period, the Supervisor shall provide two (2) months' written notice of his/her recommendation, which shall be one of the following:</b></p> <p><b>(i) that the staff member be granted a continuing appointment; or</b></p> <p><b>(ii) that the probationary appointment be extended by a period not to exceed one (1) year; or</b></p> <p><b>(iii) that no further appointment be offered to the staff member.</b></p> <p><b>b) For a staff member who has a reduced probationary period, the Supervisor shall provide one (1) month's written notice of his/her recommendation, which shall be one of the following:</b></p> <p><b>(i) that the staff member be granted a continuing appointment; or</b></p> <p><b>(ii) that the probationary appointment be extended by a period not to exceed six (6) months; or</b></p> <p><b>(iii) that no further appointment be offered to the staff member.</b></p>
<p>12.08 The Vice-President shall reach a decision and inform the staff member in writing at least one month prior to the last day of the probationary appointment either</p>	<p>12.08 The Supervisor shall forward the recommendation to the Vice-President.</p>

<p>that:</p> <ul style="list-style-type: none"> <li>a) the staff member shall be granted continuing appointment;</li> <li>b) that the probationary appointment shall be extended by a period not to exceed one year; or</li> <li>c) that no further appointment shall be offered to the staff member.</li> </ul>	
<p>12.09 Continuing appointment shall in no sense be the right of a staff member who has served the time of probation. The performance of the staff member during probation shall indicate that the staff member will in future be capable of contributing effectively in the performance of those responsibilities to the University.</p>	<p>12.09 The Vice-President shall reach a decision and inform the staff member in writing prior to the last day of the probationary appointment that:</p> <ul style="list-style-type: none"> <li>a) the staff member shall be granted a continuing appointment; or</li> <li>b) the probationary appointment shall be extended by a <i>period not to exceed one (1) year for a staff member who has a two-year probationary period or by six (6) months for a staff member who has a reduced probationary period</i>; or</li> <li>c) the probationary appointment shall be terminated <i>and no further appointment shall be offered to the staff member</i>.</li> </ul>
<p>12.10 Where a continuing appointment is not offered (12.08 c), the staff member at the expiration of the then existing probationary appointment shall receive a severance payment equivalent to two months' salary (less any required deductions). If the probationary period has been extended beyond two years,</p>	<p>12.10 Continuing appointment shall in no sense be the right of a staff member who has served the time of probation. The performance of the staff member during probation shall indicate that the staff member will in future be capable of contributing effectively in the performance of his/her responsibilities to the University.</p>

<p>severance entitlement will be extended on a pro rata basis. The severance payment shall be at the same rate as if the staff member had continued on staff.</p>	
<p><b>Termination during probation</b></p> <p>12.11 A Supervisor may recommend and the Vice-President may terminate the probationary appointment of a staff member by giving one month's notice of such termination. Before acting on the recommendation the Vice-President shall provide to the staff member an opportunity to respond to the recommendation. The effective date of the termination shall be one month from the date of notice, but the assignment of responsibilities may cease as of the date of notice.</p>	<p><b>Termination during probation</b></p> <p><i>12.11 During the probationary period, a Supervisor may recommend and the Vice-President may approve the termination of the probationary appointment of a staff member by giving one month's written notice of such termination. The effective date of the termination shall be (1) month from the date of notice, but the assignment of responsibilities may cease as of the date of notice.</i></p>
<p>12.12 A staff member terminated under 12.11 shall receive a severance payment equivalent to two months' salary (less any required deductions)</p>	<p><i>12.12 If termination is recommended during, or at the end of probation, the Vice-President shall provide the staff member with an opportunity to respond before acting on the recommendation.</i></p>
	<p><b>Termination entitlements</b></p> <p><i>12.13 If a continuing appointment is not being offered (under 12.07 or 12.09) to a staff member whose first appointment to the University is under this Agreement, the staff member shall receive a severance payment equivalent to two (2) months' salary (less any required deductions). If the probationary period has been extended beyond two (2) years, severance entitlement will be extended on a pro rata basis. The severance</i></p>

	<p><i>payment shall be at the same rate as if the staff member had continued on staff.</i></p>
	<p><b>12.14</b> <i>If the staff member is not being offered a continuing appointment and he/she has previous continuous service in other appointments with the University, this service shall be taken into consideration in the determination of the severance payment.</i></p> <p><i>The staff member shall receive a severance payment (less required deductions) of one (1) month's salary for each year of continuous employment with a maximum payment of twelve (12) months' salary. Severance shall be based on the salary being earned on the last day of employment.</i></p>

DATED at the City of Edmonton, in the Province of Alberta, this \_\_\_\_ day of \_\_\_\_\_, 2011.

\_\_\_\_\_  
Don Heth  
President,  
on behalf of the AASUA

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Carl G. Amrhein  
Provost & Vice-President (Academic),  
on behalf of the University

\_\_\_\_\_  
Witness

**OUTLINE OF ISSUE**
**Agenda Title: Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures**

**Motion:** THAT the Board of Governors, on the recommendation of the Board Learning and Discovery Committee, approve the proposed changes to the UAPPOL Centres and Institutes Policy, as submitted by the Office of the Provost and Vice-President (Academic) as set forth in Attachment 1.

**Note 1:** The proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure were approved, under delegated by the General Faculties Council Executive at its meeting of November 7, 2011. They are included herein for the information only of the Board of Governors.

**Note 2:** The proposed revisions to the Affiliated Centres and Institutes Establishment Procedure, the Affiliated Centres and Institutes Operation Procedure, the Affiliated Centres and Institutes Termination Procedure, and the Affiliated Centres and Institutes (Appendix A) Agreement Requirements are included herein for the information only of members of the Board of Governors. The final approver of changes to these UAPPOL Procedures (and the accompanying 'Agreement Requirements') is the Provost and Vice-President (Academic).

**Item**

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic)
Presenter	Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); and Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
Subject	Revisions to the Centres and Institutes Policy and associated Procedures (as set out in the University of Alberta Policies and Procedures On Line (UAPPOL))

**Details**

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To approve changes to the UAPPOL Centres and Institutes Policy and its associated Procedures. Many of the changes are editorial. Some of the more substantial changes include revisions related to regular review, renewal, and review associated with perceived risk.
The Impact of the Proposal is	Minimal.
Replaces/Revises (eg, policies, resolutions)	UAPPOL Centres and Institutes Policy and associated Procedures.
Timeline/Implementation Date	Upon approval, as set out in the 'Motion' above.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

**Alignment/Compliance**

Alignment with Guiding Documents	<i>Dare to Discover</i> (Learning, Discovery and Citizenship; Transformative Organization and Support) and <i>Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal	1. <b>Post-Secondary Learning Act (PSLA):</b> The PSLA gives the Board of Governors the authority to "develop, manage and operate, alone or in co-operation with any person or organization, programs, services and

(please quote legislation and include identifying section numbers)

facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (Section 26(1)) and can “make recommendations to the board with

1. respect to affiliation with other institutions” (Section 26(1)(o)). [...]”

**2. GFC Executive Committee Terms of Reference (Section 3 (Mandate of the Committee)):**

**“5. Agendas of General Faculties Council**

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

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

**3. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (Mandate of the Committee),** states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.

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

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

**4. MANDATE OF THE BOARD LEARNING AND DISCOVERY COMMITTEE**

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

	<p>shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall:</p> <p>[...]</p> <p>b. review, provide feedback and approve teaching and research policies;</p> <p>c. review and approve recommendations of GFC for major changes in instructional and research programs and other academic matters;</p> <p>[...]</p> <p>f. review and provide recommendations on the University’s enterprise-wide risks and risk measures related to the Committee mandate;</p> <p>[...]</p> <p>j. ensure that the academic teaching and research activities at the University are administered and undertaken in a manner consistent with the vision and mission of the University;</p> <p>[...].</p> <p>The Committee shall review, evaluate, and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.”</p>
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**Routing** (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	<p>Vice-Provosts’ Meeting (VPM); Murray Gray, Faculty of Engineering (and Incoming Vice-Provost (Academic)); Office of General Counsel; Centres and Institutes Committee (CIC); Strategic Initiatives Group (SIG); Executive Planning Committee (EPC); President’s Executive Committee (PEC)</p>
Approval Route (Governance) (including meeting dates)	<p>GFC Executive Committee (November 7, 2011) – for recommendation to the Board of Governors (Centres and Institutes Policy revisions) and for final approval (associated Academic Centres and Institutes Procedures); Board Learning and Discovery Committee (BLDC) (November 21, 2011) – for recommendation to the Board of Governors (Centres and Institutes Policy revisions only); Board of Governors (December 9, 2011) – for final approval (Centres and Institutes Policy revisions only)</p>
Final Approver	See ‘Approval Route’.

**Attachments**

- Attachment 1 (pages 1 – 32): Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures

*Prepared by:* Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) (with assistance from University Governance)

<b>Go to:</b>	<a href="#">[Overview]</a>	<a href="#">[Purpose]</a>	<a href="#">[POLICY]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[RELATED LINKS]</a>
This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.					

## Centres and Institutes Policy

<b>Office of Accountability:</b>	Provost and Vice-President (Academic)
<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	Board of Governors and General Faculties Council
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

There are two types of **centres** and **institutes** governed by this policy: **academic centres and institutes** and **affiliated centres and institutes**.

The Government of Alberta's *Post-Secondary Learning Act* gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (section 26(1)) and can “make recommendations to the board with respect to affiliation with other institutions” (section 26(1)(o)).

### Purpose

This policy addresses academic and affiliated centres and institutes at the University of Alberta, in accordance with the University’s mission.

## POLICY

### 1. ACADEMIC CENTRES AND INSTITUTES

The University of Alberta ~~shall~~ may create academic centres and institutes which ~~will~~ shall engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

Each academic centre or institute will report to a Dean, except in exceptional circumstances and at the discretion of the Provost when an academic centre or institute may report directly to a Vice-President.

The Provost and Vice-President (Academic) shall have final authority in determining whether an academic centre or institute falls under this policy.

Academic centres and institutes shall highlight a department’s, a Faculty’s, and/or the University’s expertise in an area.

### 2. AFFILIATED CENTRES AND INSTITUTES



The University of Alberta shall enter into affiliation agreements with third parties to create affiliated centres or institutes that engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

All affiliation agreements for centres and institutes will be entered into in the name of the Governors of the University of Alberta and the Governors delegate final approval for all such affiliation agreements to the Executive Planning Committee.

Prior to entering into an affiliation agreement, appropriate advice will be sought from ~~legal~~[the Office of General Counsel](#) and ~~risk~~[Risk management/Management Services](#).

The formal affiliation agreement must include the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements* and will ensure the risk to the University has been minimized.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. <a href="#">▲ Top</a>	
<b>Centres</b>	<p>A centre normally engages in study, research or other academic focus on a specific area of interest that is defined closely at its creation and would normally incorporate a commitment to conduct its activities beyond the scope of a single discipline.</p> <p>Centres are units or bodies not normally founded solely to conduct a <b>research project</b> before disbanding. They are to be distinguished from units called “centres” that do not have a mandate to engage in scholarship, for example units such as the Sexual Assault Centre or buildings such as the Van Vliet Physical Education and Recreation Centre.</p> <p>Centres often exist within the mandate of a single Faculty.</p>
<b>Institutes</b>	<p>An institute normally is broader in scope than a centre and engages in interdisciplinary and multidisciplinary research into a major area of interest to one or multiple Faculties.</p> <p>Institutes are entities not normally founded solely to conduct a research project before disbanding.</p> <p>Normally, an institute shall engage in multiple initiatives simultaneously and engage the talents of several different experts.</p>
<b>Academic Centre or Institute</b>	<p><a href="#">An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</a> An <a href="#">a</a>Academic <a href="#">c</a>Centre or <a href="#">i</a>Institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <a href="#">c</a>Centre or <a href="#">i</a>Institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <a href="#">a</a>Academic <a href="#">c</a>Centres and <a href="#">i</a>Institutes shall not place any limits on these</p>

	<p>accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <del>i</del>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <del>c</del>Centre or <del>i</del>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<p><b>Affiliated Centre or Institute</b></p>	<p>An <del>a</del>Affiliated <del>c</del>Centre or <del>i</del>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del>Centre or <del>i</del>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b>Research Project</b></p>	<p>A research project exists to fulfill the obligations of the funding grant, and as such, has a beginning and end date. The Principal Investigators within the research project are University of Alberta researchers.</p>
<p><b>Control</b></p>	<p><u>Majority of voting shares and/or ability to appoint the majority of directors.</u><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</del></p>

**RELATED LINKS**

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

[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

[Post-Secondary Learning Act](#) (Government of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Establishment Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	GFC Executive Committee
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. It does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the University's requirements for establishing academic centres and institutes.

## PROCEDURE

### 1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Academic Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\) for assessment. Proposers are encouraged to consult the Office of the Provost and Vice-President \(Academic\) in advance.](#) All proposals for the establishment of academic centres and institutes should normally contain the following:

- a) The name and detailed purpose of the unit; [and the name and signature of the Reporting Dean](#);
- ~~b) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~

~~Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.~~

- ~~c) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~
- [b\) A description of governance structure and reporting lines \(including a diagram of organizational structure\).](#)
- ~~d) c) A statement of the role and qualifications of the [chief officer\(s\) centre/institute lead and/or the chief administrative officer, if applicable](#), of the proposed academic centre or institute;~~

- d) A statement of the employment status of those working for the proposed academic centre or institute (i.e., are they University of Alberta employees?);
- e) A detailed budget with projections over three to five years;
- e)f) Physical space requirements;
- f)g) Letters of support from relevant on- and off-campus sources, including from each of the Deans of all Faculties affiliated with and affected by the proposed academic centre or institute;
- g)h) An exigency plan for termination dissolution of the academic centre or institute: if physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the terminationdissolution plan.
- h)i) A clear definition of the status of the academic centre or institute as a University unit or body or a University/partner unit or body;
- i)j) If applicable, any agreements and/or memoranda of understanding between the University of Alberta and its partner(s) to establish, fund, and operate the academic centre or institute;
- j)k) A provision for annual reporting to the Reporting Dean or Vice-President and a provision for an annual declaration to the Office of the Provost and Vice-President (Academic);;
- k)l) A provision for strategic and operational review, to occur no less frequently than every five years, and a clear statement of who shall perform such reviews;
- m) A statement of potential risks inherent in the activities of the proposed academic centre or institute and what steps would be taken to address them;
- l)n) A statement of provision for dealing with intellectual property;
- o) An outline of the centre or institute's academic contributions to the University.

## 2. ESTABLISHMENT

All proposals for establishment of academic centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. ~~The Strategic Initiatives Group (SIG) shall review operational details (e.g. budget, space) for the proposed centre or institute and suggest revisions or recommend clarification as needed.~~ Proposals deemed to be in good order will be forwarded by the proposer(s) to the GFC Academic Planning Committee (APC) for final approval.

When the University of Alberta forms a partnership with another entity in creating an academic centre or institute, full approval processes must be followed with all partner entities prior to operation.

Proposed academic centres and institutes shall not operate prior to receipt of notice of approval.

All academic centres and institutes operating existing but not approved by APC shall come into compliance immediately or be considered for closure.

## **DEFINITIONS**

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

<b>Academic Centre or Institute</b>	
	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta</u> . An <u>aAcademic cCentre</u> or <u>iInstitute</u> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities,</p>

	<p>governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>c</u>Centre or <u>i</u>nstitute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>a</u>Academic <u>c</u>Centres and <u>i</u>nstitutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or Institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>c</u>Centre or <u>i</u>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <u>a</u>Affiliated <u>c</u>Centre or <u>i</u>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>c</u>Centre or <u>i</u>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<u>Reporting Dean</u>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u></p>
<u>Centre/Institute Lead</u>	<p><u>The individual responsible for overall reporting for a centre or institute.</u></p>
<b>Control</b>	<p><u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u></p>

## **FORMS**

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

[University of Alberta Template for Proposals to Establish New Academic Centres and Institutes](#)

## **RELATED LINKS**

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[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

## University of Alberta Template for Proposals to Establish New Academic Centres and Institutes

Proposers will complete and submit this template to the Office of the Provost for approval in accordance with UAPPOL Policy. This template is expandable ; the completed template may be up to 8 to 10 pages in length (not including letters of support or other appendices relevant to the proposal). Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for academic centres and institutes – [www.uappol.ualberta.ca](http://www.uappol.ualberta.ca) .

1.	<p><b>Name and Faculty of Reporting Dean:</b></p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 75%; padding: 5px;">Signature:</td> <td style="width: 25%; padding: 5px;">Date:</td> </tr> </table>	Signature:	Date:
Signature:	Date:		
2.	<p><b><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></b></p>		
3.	<p><b><u>Provide a statement of the priority of the proposed centre or institute within the overall priorities of the Faculty and/or the University of Alberta. Include a statement of benefits the University of Alberta could expect to receive through creation of the proposed centre or institute, including benefits to students.</u></b></p>		
4.	<p><b><u>Provide a description of the proposed centre/institute governance structure/reporting lines. Include a diagram of organizational structure.</u></b></p>		
5.	<p><b><u>Provide a statement of the role and qualifications of the centre/institute lead of the proposed centre or institute.</u></b></p>		
6.	<p><b><u>Employees</u></b></p> <ul style="list-style-type: none"> <li>a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?)</li> <li>b) Specific source(s) of any “University funding” must be identified</li> <li>c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors.</li> </ul>		
7.	<p><b><u>Detailed Budget</u></b></p> <ul style="list-style-type: none"> <li>a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected.</li> <li>b) State specific source(s) of any “University funding”</li> <li>c) personnel expenditures must include adequate provisions for benefit costs</li> <li>d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.)</li> <li>e) if in-kind support is identified, the specifics of that support must be listed separately</li> </ul>		
8.	<p><b><u>Space Requirements.</u></b></p> <p>Space required?      Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p>		

	<p>If "Yes" selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta</p> <p><input type="checkbox"/> Awaiting allocation</p> <p><input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Is funding required? Yes <input type="checkbox"/> No <input type="checkbox"/> Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta's commitment?</p> <p>b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><b><u>Equipment</u></b></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.</p> <p>b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><b><u>Potential Risks to the University of Alberta</u></b></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.</p> <p>b) Outline plans to mitigate/manage those risks.</p> <p>c) Risk Management Services may be consulted.</p>
11.	<p><b><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></b></p> <p>a) State a provision for annual reporting to the Reporting Dean</p> <p>b) State a provision for annual reporting to the Office of the Provost</p> <p>c) State a provision for strategic and operational review by the Reporting Dean (or delegate) at no less frequency than every five years.</p>
12.	<p><b><u>Intellectual Property (IP) and Copyright</u></b></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?</p> <p>b) How will ownership and commercialization of IP be handled?</p>
13.	<p><b><u>Termination Plan/Provisions</u></b></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the dissolution plan.</p>
14.	<p><b><u>Letters of Support:</u></b> Attach letters from relevant on- and off-campus sources</p>
15.	<p>Provide, if applicable, any <b><u>agreements and/or memoranda of understanding between the University of Alberta and its partner(s)</u></b> to establish, fund and operate the proposed academic centre or institute</p>

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<b>Go to:</b>	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Operation Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	GFC Executive Committee
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant

### Purpose

To outline University requirements for the operation of academic centres or institutes.

## **PROCEDURE**

### 1. ANNUAL REPORTING TO THE FACULTY OR UNIT

All academic centres and institutes must prepare and submit annual reports. ~~Annual reports are to be directed to the relevant to the Reporting Dean(s)~~ (for most ~~units~~ centres and institutes) or Vice-President (for a small number of ~~units~~ centres and institutes that report directly to a Vice-President). The ~~relevant Reporting~~ Deans and Vice-Presidents shall ~~annually declare~~ submit an annual declaration to the Provost's Office listing which units have provided reports and which have not.

Annual reports shall detail:

- objectives of the academic centre or institute and whether they continue to align with University priorities.
- the activities undertaken in the previous year;
- how those activities supported the goals; and
- the centre or institute's financial report for the fiscal year.
- ~~— objectives of the academic centre or institute and whether they continue to align with University priorities.~~

### 2. ANNUAL REPORTING-DECLARATION TO THE PROVOST'S OFFICE

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the centre/institute lead of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office for the purposes of record-keeping:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute.
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties;
- ~~The name and contact information for the director and, if applicable, for the chief administrative officer for the academic centre/institute.~~

~~The Provost's Office will ensure that all affiliated units are catalogued and that the contact information for the **Chief Officer** of each unit is kept up to date.~~

### 3. PROPOSALS FOR **MAJOR CHANGES** TO ACADEMIC CENTRES OR INSTITUTES

All proposals for major changes to academic centres and institutes ~~the renaming of an academic centre or institute, or change in legal status, affiliation or substantial change to strategic direction of a centre or institute~~ shall be submitted to the Academic Planning Committee (APC) for approval. Where there is a question or dispute regarding whether or not a proposed change to a centre or institute is major, the Provost and Vice-President (Academic) will make the determination after consulting with the Vice-President (Research) and other appropriate parties.

### 4. ANNUAL REPORTING BY ACADEMIC PLANNING COMMITTEE TO GENERAL FACULTIES COUNCIL

All approvals and re-namings of academic centres and institutes must be included in APC's annual report to General Faculties Council.

### 5. FIVE-YEAR STRATEGIC REVIEW AND RENEWAL

The Reporting Dean and/or Vice-President shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years.

Academic centre and institute renewal is dependent upon the determination by the Reporting Dean and/or Vice-President, based on annual reporting and strategic and operational reviews, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the academic centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, as been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

### 6. RISK REVIEW

The Executive Planning Committee (EPC) or the President's Executive Committee (PEC) may, at any time, request and review the annual report of an academic centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

## **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended
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institution-wide use. <a href="#">▲Top</a>	
<b>Academic Centre or Institute</b>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</u> An <u>aAcademic cCentre</u> or <u>iInstitute</u> may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>cCentre</u> or <u>iInstitute</u>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>aAcademic cCentres</u> and <u>iInstitutes</u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <u>iInstitutes</u> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>cCentre</u> or <u>iInstitute</u> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<b>Affiliated Centre or Institute</b>	<p>An <u>aAffiliated cCentre</u> or <u>iInstitute</u> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>cCentre</u> or <u>iInstitute</u> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<b><u>Reporting Dean</u></b>	<u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.</u>
<b><u>Centre/Institute Lead</u></b>	<u>The individual responsible for overall reporting for a centre or institute.</u>
<b><u>Major Changes</u></b>	<u>Changes that include, but are not limited to, the functional renaming of an academic centre or institute, change in legal status or affiliation or substantial change to strategic direction of a centre or institute. Note that philanthropic or honorific renaming will be approved subject to the Naming Policy and associated procedures.</u>
<b><u>Chief Officer</u></b>	<u>The academic leader of the centre or institute. This individual is responsible for budget and expenditure reporting.</u>

**Control**

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.~~

**FORMS**

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

[Academic Centres and Institutes – Annual Declaration to be Provided to the Office of the Provost](#)

[Academic Centres and Institutes – Five Year Review](#)

**RELATED LINKS**

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

[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

## ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION TO BE PROVIDED TO THE OFFICE OF THE PROVOST

**Compliance with University Policy extends to all members of the University Community. The UAPPOL Centres and Institutes Policy, Operation Procedure for Academic Centres states the following:**

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the **centre/institute lead** of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute;
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties (if applicable).

ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION TO THE PROVOST'S OFFICE	
Name of Centre or Institute	
Date of Declaration :	
Reporting Dean: Name:	Signature:
The name and contact information for the <b>centre/institute lead</b> and, if applicable, for the chief administrative officer for the academic centre/institute (include UofA mailing address, e-mail address and phone)	
Members of any Boards or Advisory Committees	
Affiliated Faculties (if any)	

**FACULTY OF <>**  
**<Name of Academic Centre or Institute>**  
**Five-Year Review 20<> to 20<>**

UAPPOL Centres and Institutes Policy, Academic Centres and Institutes Operation Procedure Section 5. (Five-Year Strategic Review) states that "The Reporting Dean shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years." ([www.uappol.ualberta.ca](http://www.uappol.ualberta.ca))

*To be completed by the Centre/Institute Lead and submitted to the Reporting Dean.  
This form is expandable. Please enter text in the boxes below each heading.  
A response is required for each question.*

<b>1. Name of Academic centre/institute.</b>
<b>2. Name of Academic centre/institute Lead (as defined by UAPPOL Policy as the individual responsible for overall reporting for a centre or institute).</b>
<b>3. <input type="checkbox"/> The centre/institute is still active: go to item 4) below</b>  <input type="checkbox"/> The centre/institute is no longer active: go to item 13) in the form
<b>4. <input type="checkbox"/> The centre/institute has been officially approved by the University of Alberta in accordance with <i>UAPPOL Academic Centres and Institutes Establishment Procedure</i></b>  <input type="checkbox"/> The centre/institute has not been officially approved but approval as a centre will be sought (expected date of submission for approval <>).  <input type="checkbox"/> The centre/institute has not been officially approved and a request will be made to have it reclassified as a research group  <input type="checkbox"/> The official University of Alberta status of this centre is not known
<b>5. List of centre/institute academic members.</b>
<b>6. Brief summary of the centre/institute's purpose and objectives/strategic and operational goals.</b>
<b>7. Overview of activities including a description of how the centre/institute meets or otherwise interacts on a regular basis (1.0 pages maximum). Please highlight any interfaculty initiatives.</b>

<b>8. Contributions to teaching and training (0.5 pages maximum).</b>
<b>9. Describe any research core services operated by the centre/institute including a description of users (e.g. centre/institute members only, other Faculty members, others).</b>
<b>10. Financial – provide a financial statement (including revenue and expenses) covering the period under review (ie. last five years).</b>
<b>11. In-kind Support – provide a description on any significant in-kind support received from any source over the period under review (e.g. administrative support, space, website support).</b>
<b>12. Additional comments: please provide any additional information as desired.</b>
<b>13. This centre is no longer active. Please provide a summary of why this centre is no longer active (e.g. has been assimilated into another centre) and whether you see any prospect of it becoming active again in the near future.</b>

Questions regarding completion this report can be addressed to <>, Office of the Dean, Faculty of <>. Please submit a completed report in electronic format to <>, at <email address>..

**Centre or Institute Lead/Director**

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Date Submitted

<b>Go to:</b>	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Academic Centres and Institutes Termination Procedure

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	General Faculties Council (GFC Executive Committee)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline University requirements for the termination of academic centres and institutes.

## **PROCEDURE**

### 1. SUSPENSION OF OPERATION

In consultation with the relevant Dean(s), the Provost and Vice-President (Academic) may suspend the operation of any academic centre or institute at any time. In such cases, the Provost and Vice-President (Academic) must at the earliest opportunity inform the Academic Planning Committee (APC) of the suspension of activity and the reasons for doing so. Prior to the ~~suspension~~[termination or suspension](#) of an academic centre or institute, consideration must be given to the impact this would have on any agreements that have been entered into with third parties.

### 2. TERMINATION

Termination of academic centres and institutes shall occur by one of two means:

- by resolution of APC on the recommendation of the ~~Centre~~[Centre/Institute](#) ~~institute~~ [Reporting Dean](#), or the University Administration;
- by lack of submission of annual reports [to the Reporting Dean](#) for a period of two consecutive years. In such cases, the University Administration shall inform APC of the relevant unit's ~~failure to report inactivity~~ and notice of closure.

Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.

The termination of an academic centre or institute must be included in APC's annual report to General Faculties Council.



## **DEFINITIONS**

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<p><b>Affiliated Centre or Institute</b></p>	<p>An <del>a</del>Affiliated <del>c</del>Centre or <del>i</del>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del>Centre or <del>i</del>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b><u>Reporting Dean</u></b></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u></p>
<p><b>Control</b></p>	<p><del>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</del> <u>Majority of voting shares and/or ability to appoint the majority of directors.</u></p>

## **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 Centres and Institutes](#) (University of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Affiliated Centres and Institutes Establishment Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the steps necessary for establishing an affiliated centre or institute.

## **PROCEDURE**

### 1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\).](#) All proposals for the establishment of affiliated centres and institutes created through a contractual relationship or agreement, depending on the nature of the centre or institute being contemplated, require consultation with the [Office of the Provost and Vice-President \(Academic\)](#)'s office or the [Office of the Vice-President \(Research\)](#)'s office at the earliest feasible stage.

The proposal [template addresses shall address](#) the critical elements [of a proposal as](#) outlined within the [Affiliated Centres and Institutes \(Appendix A\) Agreement Requirements](#), ~~or explain why a critical element(s) is not applicable.~~

In addition to the required critical elements, the proposal submitted to the Provost shall contain:

- a. The name and detailed purpose of the unit [and the name and signature of the Reporting Dean](#);
- b. [Potential benefits to the University of Alberta](#)~~A clear statement of the benefit to the University of Alberta within the affiliation;~~
- c. [Membership and governance structure/reporting guidelines \(including a diagram of organizational structure\)](#);
- d. [A statement of the employment status and funding of employees](#);
- e. [A detailed budget which includes clear delineation of sources of operating funds](#);

- ~~e.f.~~ A statement of potential risks to the University of Alberta inherent in the activities of the proposed Centre/Institute and what steps would be taken to mitigate and/or manage ~~address~~ them;
- g. Physical space requirements;
- h. A statement for the provision of intellectual property;
- i. Statement of a provision for annual reporting and a stated provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined within the affiliation agreement;
- j. An exigency plan for termination;
- ~~d.~~ ~~A detailed budget which includes clear delineation of sources of operating funds;~~
- ~~e.k.~~ Letters of support from relevant on- and off-campus sources;
- ~~f.l.~~ The agreement, contract and/or memoranda of understanding between the University of Alberta and its partners within the affiliation agreement.

## 2. ESTABLISHMENT

All proposals for establishment of affiliated centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval. The Strategic Initiatives Group (SIG) shall review operational details (e.g., budget, space) for the proposed centre or institute and suggest revisions or clarification as needed. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval.

Proposed affiliated centres and institutes shall not operate prior to receipt of notice of approval.

All affiliated centres and institutes operating existing but not approved by EPC shall come into compliance immediately or be considered for closure.

## DEFINITIONS

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<p><b>Affiliated Centre or Institute</b></p>	<p>An <del>a</del><u>a</u>Affiliated <del>c</del><u>c</u>Centre or <del>i</del><u>i</u>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <del>c</del><u>c</u>Centre or <del>i</del><u>i</u>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <del>created through an agreement whether</del> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b>Academic Centre or Institute</b></p>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta .</u> An <del>a</del><u>a</u>Academic <del>c</del><u>c</u>Centre or <del>i</del><u>i</u>nstitute may exist solely within the University of Alberta or may be</p>

	<p>created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>c</u>Centre or <u>i</u>nstitute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>a</u>Academic <u>c</u>Centres and <u>i</u>nstitutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p><u>c</u>Centres or <u>i</u>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>c</u>Centre or <u>i</u>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
<p><b><u>Reporting Dean</u></b></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u></p>
<p><b>Control</b></p>	<p><u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u></p>

## **FORMS**

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

[University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes](#)

## **RELATED LINKS**

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

[Naming Policy](#) (University of Alberta)

## University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes

**Step 1: Completion of this template will provide an initial high-level conceptual proposal upon which Step 2 is based.** This high-level piece will be submitted to the Office of the Provost in accordance with UAPPOL Policy. The proposal will be reviewed by the Centres and Institutes Committee **before** an agreement is written and before any details are negotiated.) **Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for affiliated centres and institutes – [www.uappol.ualberta.ca](http://www.uappol.ualberta.ca) .**

**Step 2: Agreement/MOU/or contract between the University of Alberta and its partner(s) within the agreement** (To be developed in consultation with University General Counsel following completion of Step 1.)

**NOTE:** This document is expandable; **recommended length of the completed document is 8 to 10 pages**

1.	<p><b>Name and Faculty of Reporting Dean or Vice-President:</b></p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 75%; padding: 5px;">Signature:</td> <td style="width: 25%; padding: 5px;">Date:</td> </tr> </table>	Signature:	Date:
Signature:	Date:		
2.	<p><b><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></b></p>		
3.	<p><b><u>Potential Benefits to the University of Alberta</u></b></p> <ul style="list-style-type: none"> <li>a) Highlight benefits to the University of Alberta, including benefit to students</li> <li>b) List affiliated partners</li> </ul>		
4.	<p><b><u>Overview of Membership and Governance Structure/Reporting Guidelines. Include a diagram of organizational structure.</u></b></p> <ul style="list-style-type: none"> <li>a) Who appoints to the Board?</li> <li>b) What is the role of the Board?</li> <li>c) Provide a statement of the role and qualifications of the Chief Officer(s) of the proposed centre or institute</li> </ul>		
5.	<p><b><u>Employees</u></b></p> <ul style="list-style-type: none"> <li>a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?)</li> <li>b) Specific source(s) of any “University funding” must be identified</li> <li>c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors.</li> </ul>		
6.	<p><b><u>Detailed Budget</u></b></p> <ul style="list-style-type: none"> <li>a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected.</li> <li>b) State specific source(s) of any “University funding”</li> <li>c) personnel expenditures must include adequate provisions for benefit costs</li> <li>d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.)</li> </ul>		

	e) if in-kind support is identified, the specifics of that support must be listed separately
7.	<p><b><u>Potential Risks to the University of Alberta</u></b></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.  b) Outline plans to mitigate/manage those risks.  c) Risk Management Services may be consulted.</p>
8.	<p><b><u>Space Requirements.</u></b></p> <p>Space required?      Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p> <p>If “Yes” selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta  <input type="checkbox"/> Awaiting allocation  <input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for?    Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p>Is funding required?    Yes <input type="checkbox"/>    No <input type="checkbox"/>    Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta’s commitment?  b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><b><u>Equipment</u></b></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.  b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><b><u>Intellectual Property (IP) and Copyright</u></b></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?  b) How will ownership and commercialization of IP be handled?</p>
11.	<p><b><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></b></p> <p>a) State a provision for annual reporting as will be outlined within the affiliation agreement.  b) State a provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined in the affiliation agreement.</p>
12.	<p><b><u>Termination Plan/Provisions</u></b></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the termination plan.</p>
13.	<p><b><u>Letters of Support:</u></b> Attach letters from relevant on- and off-campus sources</p>

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Affiliated Centres and Institutes Operation Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline University requirements for operating an affiliated centre or institute.

## **PROCEDURE**

In accordance with the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, each affiliated centre or institute with the University of Alberta must:

- provide an annual report as outlined within the affiliation agreement;
- conduct periodic reviews and report on those reviews as outlined within the affiliation agreement.

All proposals for the renaming of an affiliated centre or institute, or change in legal status, affiliation or substantial change to strategic direction of an affiliated centre or institute shall be submitted to the Executive Planning Committee for approval.

The affiliated centre or institute's annual report must be submitted to the **Reporting Dean** or Vice-President.

### REVIEW AND RENEWAL

Processes for reporting and review of an affiliated centre or institute are detailed in the affiliation agreement. Affiliated centre and institute renewal is dependent upon the determination by the reporting Dean or Vice-President, based on reporting and review, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the affiliated centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, has been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

### RISK REVIEW



The Executive Planning Committee (EPC) or the President’s Executive Committee (PEC) may, at any time, request and review the annual report of an affiliated centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

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<p><b>Affiliated Centre or Institute</b></p>	<p>An <u>aAffiliated cCentre</u> or <u>iInstitute</u> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>cCentre</u> or <u>iInstitute</u> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University’s campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><b><u>Reporting Dean</u></b></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.</u></p>
<p><b><u>Centre/Institute Lead</u></b></p>	<p><u>The individual responsible for overall reporting for a centre or institute.</u></p>

**Control**

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.~~

**FORMS**

There are no forms for this procedure. [[▲Top](#)]

**RELATED LINKS**

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[Naming Policy](#) (University of Alberta)

Go to:	<a href="#">[Purpose]</a>	<a href="#">[PROCEDURE]</a>	<a href="#">[DEFINITIONS]</a>	<a href="#">[FORMS]</a>	<a href="#">[RELATED LINKS]</a>
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

## Affiliated Centres and Institutes Termination Procedure

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

### Purpose

To outline the steps necessary for terminating an affiliated centre or institute.

## PROCEDURE

Compliance with University procedure extends to all members of the University community. [\[▲Top\]](#)

Prior to the termination of an affiliated centre or institute, and in accordance with the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, ~~each-an~~ affiliated centre or institute must:

- notify the University of Alberta that a termination of the centre/institute is being considered;
- notify the University what physical and financial resources will remain following the termination of the affiliated centre or institute, if not already stated within the affiliation agreement;
- follow the obligations as outlined in the affiliation agreement and at law.

## DEFINITIONS

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

<b>Academic Centre or Institute</b>	<u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</u> An <del>a</del> Academic <del>c</del> Centre or <del>i</del> Institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <del>c</del> Centre or <del>i</del> Institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the
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	<p>utmost value to academic freedom and scholarly integrity. Accordingly, <u>aAcademic cCentres</u> and <u>iInstitutes</u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or <u>iInstitutes</u> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>cCentre</u> or <u>iInstitute</u> has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
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<p><b>Control</b></p>	<p><u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of the voting shares and/or ability to appoint the majority of directors.</u></p>

## **FORMS**

There are no forms for this procedure. [[▲Top](#)]

## **RELATED LINKS**

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This document is an appendix to its parent document. Questions regarding this document should be addressed to the Office of Administrative Responsibility.

## Affiliated Centres and Institutes (Appendix A) Agreement Requirements

<b>Office of Administrative Responsibility:</b>	Office of the Provost and Vice-President (Academic)
<b>Approver:</b>	Provost and Vice-President (Academic)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

\*NOTE: The critical elements outlined below apply to **affiliated centres and institutes** only. They do not apply to **academic centres and institutes**, nor shall they apply to research consortia that are created to fulfill the mandate of a research grant.

All agreements must be written and reviewed in accordance with the University of Alberta's *Contract Review and Signing Authority Policy*.

The affiliation agreement will be written to:

- ensure best practice in the management of the University's interests in an affiliated centre or institute.
- provide clarity of roles and responsibilities of the University and of the centre's or institute's board in terms of human resources, leases, ownership of equipment, ownership of research, reporting, etc.
- understand both the potential opportunities and exposures to the University and ensure appropriate steps are taken to mitigate significant risks.
- demonstrate consultation with appropriate University units and departments (e.g. General Counsel must be consulted on legal issues, Risk Management on insurance issues, Academic Staff Administration and/or Employee Relations on employment issues, etc)

All agreements to create an affiliated centre or institute must also contain the following critical elements. In certain circumstances, upon consultation with the University department that has responsibility for the area, it may be determined that one or more of these elements may not be required:

1. Legal Status
  - a. Define the parties within the affiliation.
  - b. Define the legal status of the centre/institute.
2. Reporting/Governance Structure
  - a. Define the representation of each partner within the affiliation agreement on the board of directors or similar governing body and the associated roles and responsibilities of the board.
  - b. Define the powers of the governing board.
  - c. Define the powers that are reserved to parties (for example, the power to amend the affiliation agreement).
  - d. If applicable, define the representation and responsibilities of the advisory council or similar advisory body.

- e. Define the role and qualifications of the chief officer(s) of the proposed centre/institute.
  - f. Define the timing of and how the annual reporting will be conducted and the intended audience of the report.
  - g. Define how periodic reviews will be conducted, the timing of those reviews, and how the results of the reviews will be reported to each member institution.
3. Employees  
Provisions must be included to deal with any employment issues that may arise as a result of the affiliation. This could include issues such as secondments between the parties, applicability of collective agreements and compliance with policies.
  4. Space/Lease Agreement  
Define the arrangements for the ownership and use of space, with associated liabilities clearly defined.
  5. Equipment  
Define the agreement regarding the purchase, ownership, and use of equipment.
  6. Funding/Budget  
Define the monetary and financial reporting obligations, if any, of the University and other party(ies) in the agreement.
  7. Research and Intellectual Property  
Define the agreement with the member party(ies) in terms of research grants and the ownership of research and other intellectual property.
  8. Risk/Insurance  
Define the arrangements for insurance and associated liabilities.
  9. Termination or Wind Up
    - a. Define the processes for the termination or winding up of the centre/institute, and the obligations of the centre/institute and of the party(ies) should it be terminated or wound down.
    - b. Outline what physical and financial resources will remain following the termination or wind up of an affiliated centre or institute.

## **DEFINITIONS**

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	<p>Centres or <del>i</del>nstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <del>c</del>Centre or <del>i</del>nstitute has a governing board, membership of the board is constituted such that the University of Alberta has <b>control</b>.</p>
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[Contract Review and Signing Authority Policy](#) (UAPPOL)