

The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, June 23, 2017 meeting:

Agenda Title: **Dentistry/Pharmacy Building Renewal and Repurpose: Capital Expenditure Authorization Request (CEAR)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve a Capital Expenditure Authorization Request (CEAR) of one hundred forty-nine million dollars (\$149,000,000) in Canadian funds for the initial phase of the renewal and repurposing of the Dentistry/Pharmacy building.

Final Item: 4ci.

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

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the transfer of \$1,699,431.80 of unrestricted net assets to permanent restricted endowment net assets.

Final Item: 4cii.

Agenda Title: **Sexual Violence Policy and Procedure**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Safety, Health and Environment Committee, and General Faculties Council, approve the Sexual Violence Policy and Procedure, as set forth in Attachments 1 to 5, to take effect upon final approval.

Final Item: 4di.

Agenda Title: **University of Alberta 2016-2017 Annual Report to Government of Alberta**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board University Relations Committee, approve and adopt the *University of Alberta 2016-2017 Annual Report* and empower the Interim Associate Vice-President (Audit & Analysis) to make any editorial changes to the *Report*, as needed, as long as the changes do not have the force of policy.

Final Item: 4ei.

Agenda Title: **University Endowment Pool (UEP) Spending Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Endowment Pool Spending Policy, as set forth in Attachment 1.

Final Item: 5a.

Agenda Title: **University Funds Investment Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Funds Investment Policy effective July 1, 2017, as set forth in Attachment 1.

Final Item: 5b.

Agenda Title: **Board Committee Appointments**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Chair, Mr Michael Phair, approve Board Committee appointments, as set forth in Attachment 1 to the agenda documentation.

Final Item: 6a.

OUTLINE OF ISSUE
Action Item

 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 \$1,699,431.80 of unrestricted net assets to permanent restricted endowment net assets.

Item

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

Details

Responsibility	Finance & Administration
The Purpose of the Proposal is (please be specific)	The following faculties have requested capitalization: <ul style="list-style-type: none"> • <u>Engineering - \$1,699,431.80</u> Source of funds: Estate of Ronald Anthony Cimolino.
The Impact of the Proposal is	Transfer of \$1,699,431.80 of unrestricted net assets to permanent restricted endowment net assets.
Replaces/Revises	None
Timeline/Implementation Date	Effective upon approval by the Board of Governors
Estimated Cost /funding source	n/a
Next Steps	
Supplementary Notes / context	

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see the link posted on the Governance Toolkit section Student Participation Protocol >	<u><i>Those who have been informed:</i></u> <ul style="list-style-type: none"> •
	<u><i>Those who have been consulted:</i></u> <ul style="list-style-type: none"> • Provost and Vice-President (Academic)
	<u><i>Those who are actively participating:</i></u> <ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee - May 30, 2017 (recommendation) Board of Governors – June 23, 2017 (approval)
Final Approver	Board of Governors

Alignment/Compliance

Alignment with Guiding Documents	<p><u>Institutional Strategic Plan – For the Public Good</u> Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.</p> <p>OBJECTIVE: Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.</p>
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	<p>i. Strategy: Seek and secure resources needed to achieve and support our strategic goals.</p> <p>ii. Strategy: Ensure a sustainable budget model to preserve and enhance our core mission and reputation for excellence in teaching, learning, research, and community engagement.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</p>	<p><u>Comprehensive Institutional Plan</u></p> <p><u>1. Post-Secondary Learning Act</u> <i>General powers and duties 60(1) The board of a public post-secondary institution shall:</i> (a) manage and operate the public post-secondary institution in accordance with its mandate, (b) develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the economic prosperity of Alberta and for the educational or cultural advancement of the people of Alberta,</p> <p><u>2. University Policy and Procedure On-Line (UAPPOL)</u> Board-approved Capitalization of Unrestricted Funds to Endowment Policy and relevant procedure.</p> <p><u>3. Board of Governors General Terms of Reference, Section 1.b:</u> <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><u>4. The Board Finance and Property Committee Terms of Reference, Sections 3 and 4 state:</u> <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> <p><i>b) review and recommend to the Board the Integrated Planning and Budgeting Policy which includes guiding principles for changes to approved budgets and for transfer or reallocation of monies included in approved budgets;</i></p> <p><i>c) review and recommend to the Board the annual and other budgets and major issues of policy related to budgets;</i></p> <p><u>4. LIMITATIONS ON DELEGATION BY THE BOARD</u> <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> <p><i>(a) approve the guiding principles, budgets and changes to approved budgets and the transfer or reallocation of monies included in approved budgets;</i></p>

Attachments: None

OUTLINE OF ISSUE
Action Item

Agenda Title: **Sexual Violence Policy and Procedure**

Motion: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Safety, Health and Environment Committee, and General Faculties Council, approve the Sexual Violence Policy and Procedure, as set forth in Attachments 1 to 5, to take effect upon final approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	André Costopoulos, Vice-Provost and Dean of Students Wayne Patterson, Executive Director, Human Resource Services and Acting Associate Vice-President (Human Resources)
Presenter	Wayne Patterson, Executive Director, Human Resource Services and Acting Associate Vice-President (Human Resources)

Details

Responsibility	Provost and Vice-President (Academic) Vice-President (Finance and Administration)
The Purpose of the Proposal is (please be specific)	To approve the Sexual Violence Policy and Procedure and related information documents.
The Impact of the Proposal is	<p>The proposed Policy indicates that, “The University recognizes the harm caused by a culture in which common attitudes, norms and practices tolerate, normalize, trivialize, excuse or outright condone sexual violence.” The Sexual Violence Policy suite affirms the University’s commitment to support survivors of sexual violence in a survivor driven process. The Policy suite includes key definitions to educate all members of the university community. Fundamental principles established in the policy suite include the importance of believing survivors when they disclose an experience of sexual violence and providing support, accommodations, interim measures, and information on filing a formal complaint.</p> <p>In addition, the proposed policy indicates “The University takes seriously its responsibility to reduce sexual violence by fostering a culture of consent and support through education, training and policy.” The impact will be an increasingly educated and informed community that can better handle disclosures and complaints of sexual violence.</p> <p>The Government of Alberta has made it clear that they expect every institution to produce a stand-alone policy on sexual violence.</p>
Replaces/Revises	N/A
Timeline/Implementation Date	Upon final approval
Estimated Cost /funding source	N/A
Next Steps (ie.: Communications Plan, Implementation plans)	The University’s central Marketing and Communications office will develop and execute a communications strategy to inform the campus and broader communities. Vice-Provost and Dean of Students André Costopoulos will serve as a spokesperson for the policy suite as it pertains to students and Executive Director, Human Resource Services and Acting Associate Vice-President, Wayne Patterson, will be the spokesperson as it pertains to faculty and staff.

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	Four working groups have been formed to manage the implementation of the policy and procedure. Those four working groups include: Support, Assessment, Education and Outreach, and Accountability. In addition to ensuring that the policy and procedure are implemented, the working groups will enhance the University's communication of the policy suite.
Supplementary Notes and context	Secretary's Note: A slightly expanded definition for <i>Interim Measures</i> was included in the Procedure as recommended by General Faculties Council (see page 6 of Attachment 2). Upon final approval, this new definition will replace the one in the <i>Options, Resources and Services</i> document (see page 13 of Attachment 3).

Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • President's Executive Committee on Operations, August 25, 2016 • CLRC, September 22, 2016 • Human Resource Services, Faculty and Staff Relations, Office of Safe Disclosure and Human Rights, Office of General Counsel • Consultant group drawn from: Sexual Assault Centre, Women's and Gender Studies, UAPS, Student Conduct, Office of Safe Disclosure and Human Rights, HIAR, UAI, Risk Management Services, Augustana Campus, Campus Saint-Jean, Students' Union, Graduate Students' Association, AAS:UA, NASA, Faculty and Staff Relations, Community Social Workers, Office of the Student Ombuds, ISMSS, Aboriginal Student Services Centre, Interfraternity Council, the Landing, Internal Audit Services, Counseling and Clinical Services, Student Success Centre, Athletics, students- and faculty-at-large • Others who have provided feedback to the consultants (e.g. staff at the Sexual Assault Centre, GSA Council, etc.) • June 17/16 - Government of Alberta Status of Women and Human Services • July 18/16 - Faculty and Staff Relations • August 2/16 - Dean of Students and SU/GSA Executives • Sept 30/16 - Legal counsel, UAPS and Appeals & Compliance • Oct 6/16 - Office of Safe Disclosure & Human Rights • Oct 19/16 - the Landing • Oct 21/16 - Residence Life • Oct 31/16 - Human Resource Services • Nov 3/16 - St. Joseph's College • Nov 4/16 - Augustana (phone) • Nov 4/16 - Campus Saint Jean • Nov 7/16 - Athletics • Nov 14/16 - Vice President (Research) / PDF office (email only) • Nov 14/16 - AASUA • Nov 14/16 - Sexual Assault Centre of Edmonton (phone) • Legal counsel: Aug 23, Oct 5, 11, 14, 20, Nov 3, Nov 15 • GFC Campus Law Review Committee – September 22 (draft policy), October 27, 2016 (draft policy and procedures), November 24, 2016 (draft policy, procedure, information document)
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	<ul style="list-style-type: none"> • GFC Academic Planning Committee – November 16, 2016 • GFC Executive Committee – December 5, 2016 <p><i>Those who are actively participating:</i></p> <ul style="list-style-type: none"> • Policy development group: Deborah Eerkes (Student Conduct and Accountability), Sasha van der Klein (GSA), Francesca Ghossein (SU), Mike Bartkus (UAPS), Jaxine Oltean (Office of General Counsel), Dan Charlton (Human Resource Services), Helen Valianatos and Sarah Wolgemuth (Office of the Dean of Students)
<p>Approval Route in Support of Good Governance (including meetings, dates and Final Approver)</p>	<p>GFC Campus Law Review Committee – January 26, 2017 GFC Academic Planning Committee – February 15, 2017 GFC Executive Committee – March 6, 2017 (for information) General Faculties Council – March 20, 2017 Board Safety, Health, and Environment Committee – May 24, 2017 Board Human Resources and Compensation Committee – May 30, 2017 Board of Governors – June 23, 2017</p>

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p><i>For the Public Good</i></p> <p>GOAL: SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.</p> <p>OBJECTIVE 19: Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives.</p> <p>Strategy iii: Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<ol style="list-style-type: none"> 1. Post-Secondary Learning Act (PSLA): Alberta's Post-Secondary Learning Act (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 facilities for the educational or cultural advancement of the people of Alberta" (Section 60(1)). Further, the Board of Governors "must consider the recommendations of the general faculties council, if any, on matters of academic import prior to providing for [...] any other activities the board considers necessary or advantageous." (Section 19(c)) 2. Post-Secondary Learning Act (PSLA): The PSLA gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). 3. Campus Law Review Committee (CLRC) Terms of Reference "E. Other GFC Regulations 1. From time to time the Chair of GFC CLRC will bring forward to GFC CLRC items where the Office of the Provost and Vice-President (Academic), in consultation with other units or officers of the University, is seeking the advice of the committee. These matters may include, but are not limited to, rules and regulations, other than discipline codes."

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4. **GFC Academic Planning Committee** Terms of Reference (Mandate):
“The Academic Planning Committee (APC) is GFC's senior committee dealing with academic, financial and planning issues. [...] [T]he President, Provost and Vice-President (Academic) or other Vice-Presidents may refer any matter to APC for consideration or recommendation to GFC. APC is also responsible to GFC for promoting an optimal learning environment for students and excellence in teaching, research, and graduate studies.”
- “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: [...]”
15. Other
- a. To recommend to the Board of Governors and/or GFC on any other matter deemed by APC to be within the purview of its general responsibility.
5. **GFC Executive Committee Terms of Reference** (3. Mandate)
“GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda. [...]”
When recommendations are forwarded to General Faculties Council from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chair about proposals being forwarded from APC to GFC.”
6. **General Faculties Council Terms of Reference** (Mandate)
“The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following: • high level strategic and stewardship policy issues or matters of significant risk to the University”
7. **Board Safety, Health and Environment Committee** (BSHEC)
Terms of Reference:
“3. Mandate of the Committee
Without limiting the generality of the foregoing the Committee shall:
a) provide oversight regarding the environmental health, safety and security of the University community:
(i) approve University policies and procedures relating to environmental health, safety, and security issues and compliance therewith;
b) provide oversight regarding student health and wellness initiatives and strategies on campus:
(i) review and approve University policies and procedures relating to student health and wellness issues;
8. **Board Human Resources and Compensation Committee** (BHRCC) Terms of Reference:
“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,

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	<p>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.</p> <p>Staff Working Conditions</p> <p>c) review and approve material changes to personnel policies of the University that are outside the regular collective bargaining process and consider trends affecting such policies; Reports, Advice, Trends</p> <p>s) review and provide recommendations to the Board Audit Committee on the University's enterprise wide risks and risk measures related to the Committee mandate</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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Attachments:

1. Proposed Sexual Violence Policy (7 pages)
2. Proposed Sexual Violence Procedure (8 pages)
3. Options, Resources and Services for Those who have Experienced Sexual Violence Information Document (14 pages)
4. Sexual Violence Interim Measures Information Document (4 pages)
5. Sexual Violence Education and Training Information Document (6 pages)

Prepared by: Deborah Eerkes, Director, Student Conduct and Accountability deerkes@ualberta.ca with the assistance of University Governance; Sarah Wolgemuth, Assistant Dean, Student Life, sarah.wolgemuth@ualberta.ca; André Costopoulos, Vice-Provost and Dean of Students

Revised: 6/16/2017

Original Approval Date: (Effective Date:)Most Recent Approval Date:

(Add "Effective Date" only if different than "Approval Date")

Most Recent Editorial Date:

Sexual Violence Policy

Office of Accountability:	Provost and Vice-President (Academic) Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Vice-Provost and Dean of Students Vice-Provost and Associate Vice-President (Human Resources)
Approver:	Board of Governors
Scope:	Compliance with this University policy extends to all members of the University community .

1. Overview

- a. **Sexual violence** is a complex and serious problem in society and on university campuses. Sexual violence can affect individuals of all gender identities, gender expressions, and sexual orientations, as well as those from all ages, abilities, racial, cultural and economic backgrounds.
- b. The University recognizes the harm caused by a culture in which common attitudes, norms and practices tolerate, normalize, trivialize, excuse or outright condone sexual violence. Sometimes called rape culture, it is perpetuated through images, television, music, jokes, advertising, jargon, words and figures of speech that normalize sexual coercion and shift blame onto those who have experienced sexual violence. As an institution that exists in the context of that culture, the University takes seriously its responsibility to reduce sexual violence by fostering a culture of **consent** and support through education, training and policy.
- c. This policy is guided by the following principles:
 - i. the need for safety in the work, study and student residence environment, providing a community in which sexual violence is not tolerated,
 - ii. the inherent dignity of all members of the University community,
 - iii. the importance of fostering a culture of consent and support through education, training and policy initiatives,
 - iv. the need to identify and dismantle barriers to making a **disclosure** and/or **complaint**,
 - v. access to support for anyone in the University community who discloses that they have experienced or been affected by sexual violence, and
 - vi. procedural fairness and support for the parties to formal complaint processes related to sexual violence.

2. Purpose

The purpose of this policy is to state the University's commitment to addressing sexual violence through education and awareness, providing access to comprehensive support for those who have experienced or been affected by sexual violence and implementing transparent and fair processes to resolve and adjudicate complaints of sexual violence.



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3. POLICY

- a. It is the policy of the University of Alberta that sexual violence committed by any member of the University community is prohibited and constitutes misconduct. Prohibited conduct includes: sexual violence, **sexual assault, sexual harassment, stalking, indecent exposure, voyeurism, and distribution of intimate images.**
- b. Any member of the University community who discloses having experienced sexual violence will have access to support, whether or not the sexual violence took place on University property or in relation to University activities. Where the University has jurisdiction, complaints will be addressed under the applicable policies or procedures, including, for example, the *Code of Student Behaviour*, the *Postdoctoral Fellow Policy*, NASA, AASUA or GSA collective agreements, or other applicable employment contracts and agreements.

4. COMMITMENT TO THOSE WHO HAVE EXPERIENCED SEXUAL VIOLENCE

- a. Sexual violence can have serious and enduring negative effects on physical, mental, emotional and spiritual health and wellness. The University recognizes the possible effects of trauma on those who have experienced sexual violence and supports the efforts of individuals to seek support and recover. Regardless of where or when it took place, any person who discloses and/or makes a complaint of sexual violence can expect to be:
 - i. treated with respect, dignity and compassion,
 - ii. informed about on- and off-campus resources and supports,
 - iii. provided with access to support which is non-judgmental, coordinated and comprehensive
 - iv. offered options for academic, recreational, University residence and/or workplace **modifications** to prevent further unwanted contact with the subject of the disclosure and ameliorate, to the extent possible, the negative impacts of the sexual violence on the person's working, study or student residence environment,
 - v. provided with information about available complaint processes should they wish to pursue a complaint within the University and/or to an external law enforcement agency, and
 - vi. offered safety planning assistance.
- b. Subject to the limitations set out in section 6 of this policy, those who experience sexual violence will be considered the primary decision-maker in matters pertaining to themselves. As such, they can determine whether, to whom and what to disclose, and whether to make a complaint within the University and/or an external law enforcement agency.

5. RESPONSIBILITIES

- a. The University recognizes its institutional responsibility to:
 - i. provide an effective policy and procedures to address and prevent sexual violence,
 - ii. raise awareness about the policy and procedures and relevant support services on campus through institution-wide education,
 - iii. raise awareness of consent, sexual violence, prevention, and appropriate responses to disclosures of sexual violence through institution-wide education,
 - iv. balance the duty to ensure procedural fairness for any person accused of sexual violence with support and fairness for the complainant within the University's complaint processes,
 - v. maintaining safe and neutral mechanisms for individuals to disclose or make a complaint of sexual violence,
 - vi. ensuring the safety of the working, learning and student residence environment by various means, including the imposition of **interim measures**, where appropriate,
 - vii. provide coordinated and comprehensive supports for those who disclose sexual violence, and
 - viii. ensure that all individuals investigating or adjudicating complaints of sexual violence in any University complaints process have appropriate training.
- b. All senior leaders, including the President, Vice-Presidents, Deans, Directors and Chairs and other officers of the University exercise administrative responsibility to implement this policy and the related procedures within their respective areas of responsibility, including by creating, supporting and



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maintaining a work, study and student residence environment that promotes a culture of consent, free from sexual violence.

- c. All members of the University community are responsible for promoting respect and dignity for each other by encouraging a culture of consent; and for contributing to work, study and student residence environments in which individuals can disclose experiences of sexual violence without fear of disbelief, disrespect or reprisal.

6. PRIVACY AND CONFIDENTIALITY

- a. Privacy and confidentiality are essential for creating an environment where those who have experienced sexual violence feel safe in disclosing their experience and seeking support. However, it is important to note that there may be limits to the University's ability to maintain privacy and confidentiality in some cases, including where:
 - i. there is a likely risk of harm to self or others, or
 - ii. reporting or action is required or authorized by law or University policy.
- b. Whether or not the University can maintain the privacy and confidentiality of a disclosure will be determined on a case by case basis, in consultation with relevant University officials.
- c. In relation to complaints, all University complaint processes are confidential. In any complaint process, sufficient information, including the identity of the complainant, must and will be disclosed to the accused in order to meet the requirements of procedural fairness.
- d. Whether in the context of a disclosure or a complaint, all parties will be informed of the limits of privacy and confidentiality. In cases where confidentiality cannot be maintained, those affected will be informed and supported throughout the process. In such cases, only necessary information will be disclosed, and only to those with a need to know.

7. STATEMENT AGAINST RETALIATION

Retaliation against any person involved in a disclosure or complaint of sexual violence is prohibited. Where it has jurisdiction, the University will investigate all reports of retaliation in accordance with the appropriate complaints processes.

8. BAD FAITH COMPLAINTS

The University recognizes the serious nature of complaints made under this policy, and may take disciplinary action where allegations of sexual violence are shown to be malicious, fraudulent, and/or vexatious. A complaint made in good faith is not a violation of this policy even if it is not proven in a complaint process.

9. REVIEW

This policy will be reviewed from time to time, as necessary.

DEFINITIONS

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

University community	
	Includes all academic staff and colleagues, administrators and support staff as outlined and defined in <i>Recruitment Policy</i> (Appendix A and Appendix B) as well as third party contractors, visiting speakers, volunteers, professors emeriti, undergraduate

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	students, graduate students, postdoctoral fellows and visitors to campus.
Sexual violence	<p>Any sexual act or act of a sexual nature, or act targeting sexuality, whether physical or psychological, committed without consent. This includes, but is not limited to the following:</p> <ol style="list-style-type: none"> a. Sexual Assault - Any form of sexual contact without consent. This can include unwanted or forced kissing, fondling, vaginal or anal penetration or touching, or oral sexual contact. b. Sexual Harassment - as defined in the UAPPOL <i>Discrimination, Harassment and Duty to Accommodate Policy</i>. c. Stalking - Repeated unwanted contact or communication directed at another person that causes reasonable fear or concern for that person's safety or the safety of others known to them. The harm may be physical, emotional, or psychological, or related to the personal safety, property, education, or employment of an individual. Stalking can occur physically (such as watching and monitoring, pursuing or following, making threatening or obscene gestures, sending unsolicited gifts), electronically (for example, continuously commenting or contacting via social media, surveillance, letters, text messages, emails or phone calls), and/or through a third party. d. Indecent Exposure - Exposing one's genitals, buttocks and/or breasts or inducing another to expose their own genitals, buttocks and/or breasts in non-consensual circumstances, in person or electronically. e. Voyeurism - Surreptitiously observing and/or recording another individual's full or partial nudity or sexual activity without the knowledge and consent of all parties involved. f. Distribution of Intimate Images - Includes showing, sharing, distributing or streaming of images, video or audio recording of a sexual activity or full or partial nudity of oneself or other members of the University community, without the consent of all the recipient(s) and/or other member(s) of the University community who is/are the subject of the image or recording, or the threat to do the same. g. Inducing intoxication, impairment or incapacity for the purpose of making another person vulnerable to non-consensual sexual activity. h. Other analogous conduct.
Consent	<p>Consent is a voluntary, ongoing, active and conscious agreement to engage in the sexual activity in question. Consent or a "yes" that is obtained through pressure, coercion, force, threats or by inducing intoxication, impairment or incapacity is not voluntary consent. Silence</p>

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	<p>or ambiguity do not constitute consent.</p> <p>Additionally, there is no consent when:</p> <ul style="list-style-type: none"> • it is given by someone else. • the person is unconscious, sleeping, highly intoxicated or high, or otherwise lacks the capacity to consent. • it was obtained through the abuse of a position of power, trust or authority. • the person does not signify “yes”, says “no” or implies “no” through words or behaviours. • the person changes their mind and withdraws their consent. <p>Consent cannot be implied (for example, by a current or past relationship, by consent to another activity, or by failure to say “no” or resist). In addition, consent cannot be given in advance of sexual activity that is expected to occur at a later time. It is the responsibility of the person wanting to engage in sexual activity to obtain clear consent from the other and to recognize that consent can be withdrawn at any time.</p>
Disclose/Disclosure	<p>A verbal or written report or account by any person to a member of the University community that they have experienced sexual violence.</p>
Complaint	<p>Usually a written report or statement alleging sexual violence misconduct made to a University official under a University process for the purpose of initiating an investigation and resolution process.</p>
Modifications	<p>Adjustments the University may be able to make at the request of a person who has made a disclosure or complaint of sexual violence. The modifications may relate to their academic program, employment, University residence or recreational or other programs.</p>
Interim measures	<p>Non-disciplinary conditions that the University may impose on a person alleged to have committed sexual violence. Such conditions may be imposed in response to a disclosure or complaint. The purposes of interim measures are to ensure the safety of the person who disclosed or of the University’s learning, working and University residence environment, to discourage or prevent retaliation, prevent further sexual violence and/or preserve the University’s ability to conduct a thorough investigation. They are not considered sanctions under any University complaint process and in any complaint process, are without prejudice to the person against whom a complaint is made.</p>
Retaliation	<p>Taking, attempting to take or threatening to take any adverse action or retribution of any kind against anyone involved in a sexual violence process including the person who made a disclosure or complaint, and anyone involved in an investigation or resolution of an allegation of sexual violence, or friends or family members of the same.</p> <p>Retaliation can take many forms, including threats, intimidation, pressuring, harassment, continued abuse, violence or other forms or threats of harm to others, and in varying modes, including in person and in electronic communication or through third parties. Retaliation can also include adverse employment or educational actions made or taken against an individual because of participation in the reporting, investigating and/or resolution of an alleged violation of this policy, or any conduct that would discourage a person from engaging in the</p>



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same.

RELATED LINKS

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Supports and Resources

[Association of Academic Staff, University of Alberta \(AASUA\)](#) (University of Alberta)
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Original Approval Date: (Effective Date:)Most Recent Approval Date:

(Add "Effective Date" only if different than "Approval Date")

Most Recent Editorial Date:

Parent Policy: Sexual Violence Policy

Sexual Violence Disclosures and Complaints Procedure

Office of Administrative Responsibility:	Vice Provost and Dean of Students Vice Provost and Associate Vice-President (Human Resources)
Approver:	Vice-President (Academic) & Vice-President (Finance and Administration)
Scope:	Compliance with this University procedure extends to all members of the University community .

1. OVERVIEW

- a. The University recognizes the difference between a **disclosure** and a **complaint**, and is committed to responding to and reducing **sexual violence** and attending to its effects by providing
 - supports and resources to persons who have experienced sexual violence and to any other member of the University community who has been affected by sexual violence,
 - **interim measures** to ensure the safety of the University's learning, working and residence environment,
 - processes to fairly adjudicate formal complaints of sexual violence, and
 - education and training to the University community about sexual violence and, in particular, to those investigating and adjudicating complaints of sexual violence.
- b. The University will consult with University of Alberta Protective Services (UAPS), Human Resource Services, legal, medical, and/or psychological experts and others as appropriate in determining how to act on disclosures or complaints of sexual violence.

2. PURPOSE

The purpose of this procedure is to

- provide guidance to members of the University community on receiving and responding to disclosures of sexual violence,
- outline supports, **modifications** and protections the University may be able to offer to persons who have experienced sexual violence,
- provide authority for the imposition of interim measures to ensure the safety of the working, learning and University residence environment,
- describe the procedures through which complaints of sexual violence will be addressed and, where warranted, discipline imposed, and
- address education and training in, and awareness of, sexual violence for the University community generally and, in particular, for those investigating and adjudicating complaints of sexual violence.

PROCEDURE

The University's response to a disclosure will, to the extent possible, be guided by the wishes of the person who experienced the sexual violence. In this regard, in response to a disclosure, the person who experienced sexual



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violence can ask the University to provide supports and resources, facilitate academic, residential, recreation and/or work modifications, consider the imposition of interim measures, and initiate an investigation of a complaint in accordance with the procedures in applicable agreements or policies.

3. INTERIM MEASURES

- a. Interim measures are non-disciplinary conditions that may be imposed on a person alleged to have committed sexual violence. The University may impose interim measures in response to either a disclosure or a complaint where the allegations would
 - i. if proven, constitute sexual violence, and
 - ii. with regard to all of the circumstances, be a risk to an individual, the community or the integrity of any potential investigation.
- b. The purpose of such interim measures is to ensure personal safety, discourage or prevent **retaliation**, prevent further sexual violence, protect confidentiality, minimize disruption to the learning, working or University Residence environment and/or preserve the University's ability to conduct a thorough investigation.
- c. Having regard to all of the circumstances, where interim measures are imposed, they must be, appropriate and proportionate to the seriousness of the alleged conduct, and as minimally restrictive as possible to achieve their purposes. As a result, interim measures will be based on considerations including, but not limited to:
 - i. the reasonable wishes of the person who experienced the sexual violence,
 - ii. the nature and/or severity of the alleged conduct,
 - iii. reasonably credible information about patterns of conduct or previous history of sexual violence or other misconduct,
 - iv. the potential impact of the measures on the person(s), including on their academic program and/or employment,
 - v. the potential impact of the measures on the learning, working or University Residence environment,
 - vi. in the case of employees, in accordance with their relevant collective agreement, and
 - vii. any other relevant information.

Examples of interim measures can be found in the University's *Sexual Violence Interim Measures Information Document*.

- d. The decision to impose interim measures will be made by:
 - i. in the case of students, the Vice-Provost and Dean of Students, or designate.
 - ii. in the case of faculty and staff, the Provost and Vice-President (Academic) and/or the Associate Vice-President (Human Resources), or designate.
 - iii. in the case of postdoctoral fellows, the Vice-President (Research) , or designate.

Decision makers may consult as needed in determining whether to impose interim measures and the nature of those measures.

- e. In all cases, decisions on interim measures must be provided in writing and include:
 - i. particulars of the measure(s),
 - ii. information about the right to request a reconsideration,
 - iii. information about relevant complaint processes, if applicable, and
 - iv. referrals to supports and/or services.
- f. The person(s) on whom interim measures are imposed may request a reconsideration from the decision maker after sixty (60) days or such earlier time as agreed to by the decision maker. Further, at any time, the decision maker may on his or her own initiative reconsider the interim measures imposed and renew, revise, or revoke any or all of the measures, or impose additional interim measures.
- g. Interim measures will be re-evaluated when a complaint process is concluded.

4. PROCEDURES TO ADDRESS COMPLAINTS

- a. Complaints of sexual violence will be resolved according to the procedures set out in the University's agreements with the Association of Academic Staff: University of Alberta (AASUA), the Non-Academic Staff Association (NASA), the *Graduate Student Assistantship Collective Agreement*, the *Postdoctoral Fellows Discipline Procedure*, the *Code of Student Behaviour*, the *Residence Agreement*, *Practicum Intervention Policy*, and any other applicable contracts, agreements or policies.
- b. In all cases, use of the procedures at the University does not preclude a report to the appropriate law enforcement agency, professional governing body, or pursuing any other civil or other remedy available at law.

Students

- c. Complaints of sexual violence against students will be addressed using procedures outlined in one or more of the following documents. When the person accused in the complaint is:
 - i. a student, the *Code of Student Behaviour*,
 - ii. a student living in a University Residence, the *Breach of Residence Agreement* process,
 - iii. a student in a practicum placement, the *Practicum Intervention Policy*;
 - iv. a graduate student while appointed in a role as a graduate teaching assistant, graduate research assistant or short-term academically-related employment at the time of the offence, the *Graduate Student Assistantship Collective Agreement*.

As noted, students may be subject to more than one procedure and may, therefore, be subject to several procedures concurrently.

Employees, postdoctoral fellows and volunteers

- d. Complaints of sexual violence against employees, postdoctoral fellows and volunteers will be resolved through the following procedures. When the person accused in the complaint is:
 - i. a member of the Non Academic Staff Association (NASA), the processes outlined in the collective agreement between the University and NASA;
 - ii. or the Association of Academic Staff: University of Alberta (AASUA), the processes outlined in the applicable collective agreement between the University and AASUA;
 - iii. a postdoctoral fellow, the *Postdoctoral Fellows Discipline Procedure*;
 - iv. an employee under an employment contract or agreement, but not subject to the above collective agreements or Procedure, where no policy or procedure exists and where no procedures are specified in the terms and conditions of their employment, the procedure will be determined on a case-by-case basis, ensuring that the accused person has the right to:
 1. an impartial decision-maker,
 2. know the case to be met,
 3. an opportunity to respond to the allegations in the complaint,
 4. be accompanied by an advisor, and
 5. a timely resolution.

Others

- e. When the person accused in a complaint or disclosure is any other person, the University may address the matter through means including, but not limited to, the *Trespass to Premises Act* of Alberta or the *Petty Trespass Act* of Alberta, reports to the appropriate law enforcement agency or professional governing body.

5. COMPLAINANT RIGHTS IN COMPLAINTS PROCESS

- a. The applicable procedures for investigating and adjudicating complaints of sexual violence are required to adhere to the principles of procedural fairness. Adherence to such principles is necessary to ensure that persons accused of sexual violence are protected by receiving a fair adjudication. At the same time, the procedures for investigating and adjudicating complaints of sexual violence must also be conducted with due regard to their effects on the complainant. Having such regard is necessary in recognition that investigatory

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and adjudicative processes can themselves cause additional trauma to a complainant. In balancing these obligations, investigators and adjudicators will be mindful to conduct their functions in a way that reduces, to the extent possible, the risk of additional harm to the complainant, while ensuring procedural fairness for the person accused in the complaint.

- b. Without limiting the foregoing, but subject to the provisions of any applicable collective agreement, the complainant will have the right to:
 - i. be accompanied by a support person throughout their participation in any investigatory or disciplinary proceedings,
 - ii. be informed of, make and respond to procedural requests,
 - iii. make oral or written representations on their own behalf, through their support person or other appropriate party, regarding impact and sanction,
 - iv. receive a copy of the written reasons for the decision.

6. PREVENTION, EDUCATION AND TRAINING

- a. Further information about:
 - receiving and managing a disclosure of sexual violence, can be found in the University's *Responding to a Disclosure of Sexual Assault*, available at <https://www.ualberta.ca/current-students/sexual-assault-centre/responding>
 - support services and resources for persons affected by sexual violence can be found in the University's *Options, Services and Resources for Those who have Experienced Sexual Violence Information Document*.
 - the steps or measures the University can take, including modifications to academic program(s), University residence, recreational or other programs, or work environment, in response to a disclosure of sexual violence can be found in the University's *Options, Services and Resources for Those who have Experienced Sexual Violence Information Document*.
- b. The University will provide education to the entire University community on sexual violence including, but not limited to, policy awareness, **consent** and responding to disclosures.
 - i. Additional workshops will be offered for those more likely to receive disclosures.
 - ii. Training in bystander intervention, provided on a voluntary basis to students and staff.
- c. All persons (i) investigating complaints of sexual violence, and (ii) adjudicating complaints of sexual violence in the complaint resolution procedures outlined above must have appropriate training.
- d. Information on appropriate training can be found in the University's *Sexual Violence Education and Training Information Document*.

DEFINITIONS

Definitions should be listed in the sequence they occur in the document (i.e. not alphabetical).

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

University community	Includes all academic staff and colleagues, administrators and support staff as outlined and defined in <i>Recruitment Policy</i> (Appendix A and Appendix B) as well as third party contractors, visiting speakers, volunteers, professors emeriti, undergraduate students, graduate students, postdoctoral fellows and visitors to campus.
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U of A Policies and Procedures On-Line (UAPPOL)

Disclose/Disclosure	A verbal or written report or account by any person to a member of the University community that they have experienced sexual violence.
Complaint	Usually a written report or statement alleging sexual violence misconduct made to a University official under a University process for the purpose of initiating an investigation and resolution process.
Sexual violence	<p>Any sexual act or act of a sexual nature, or act targeting sexuality, whether physical or psychological, committed without consent. This includes, but is not limited to the following:</p> <ol style="list-style-type: none"> a. Sexual Assault - Any form of sexual contact without consent. This can include unwanted or forced kissing, fondling, vaginal or anal penetration or touching, or oral sexual contact. b. Sexual Harassment - as defined in the UAPPOL <i>Discrimination, Harassment and Duty to Accommodate Policy</i>. c. Stalking - Repeated unwanted contact or communication directed at another person that causes reasonable fear or concern for that person's safety or the safety of others known to them. The harm may be physical, emotional, or psychological, or related to the personal safety, property, education, or employment of an individual. Stalking can occur physically (such as watching and monitoring, pursuing or following, making threatening or obscene gestures, sending unsolicited gifts), electronically (for example, continuously commenting or contacting via social media, surveillance, letters, text messages, emails or phone calls), and/or through a third party. d. Indecent Exposure - Exposing one's genitals, buttocks and/or breasts or inducing another to expose their own genitals, buttocks and/or breasts in non-consensual circumstances, in person or electronically. e. Voyeurism - Surreptitiously observing and/or recording another individual's full or partial nudity or sexual activity without the knowledge and consent of all parties involved. f. Distribution of Intimate Images - Includes showing, sharing, distributing or streaming of images, video or audio recording of a sexual activity or full or partial nudity of oneself or other members of the University community, without the consent of all the recipient(s) and/or other member(s) of the University community who is/are the subject of the image or recording, or the threat to do the same. g. Inducing intoxication, impairment or incapacity for the purpose of making another person vulnerable to non-consensual sexual activity. h. Other analogous conduct.

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Interim measures	<p>Non-disciplinary conditions that the University may impose on a person alleged to have committed sexual violence. Such conditions may be imposed in response to a disclosure or complaint. The purposes of interim measures are to ensure the safety of the person who disclosed or of the University's learning, working and University residence environment, to discourage or prevent retaliation, prevent further sexual violence and/or preserve the University's ability to conduct a thorough investigation. They are not considered sanctions under any University complaint process and in any complaint process, are without prejudice to the person against whom a complaint is made.</p>
Modifications	<p>Adjustments the University may be able to make at the request of a person who has made a disclosure or complaint of sexual violence. The modifications may relate to their academic program, employment, University residence or recreational or other programs.</p>
Retaliation	<p>Taking, attempting to take or threatening to take any adverse action or retribution of any kind against anyone involved in a sexual violence process including the person who made a disclosure or complaint, and anyone involved in an investigation or resolution of an allegation of sexual violence, or friends or family members of the same.</p> <p>Retaliation can take many forms, including threats, intimidation, pressuring, harassment, continued abuse, violence or other forms or threats of harm to others, and in varying modes, including in person and in electronic communication or through third parties. Retaliation can also include adverse employment or educational actions made or taken against an individual because of participation in the reporting, investigating and/or resolution of an alleged violation of this policy, or any conduct that would discourage a person from engaging in the same.</p>
Consent	<p>Consent is a voluntary, ongoing, active and conscious agreement to engage in the sexual activity in question. Consent or a "yes" that is obtained through pressure, coercion, force, threats or by inducing intoxication, impairment or incapacity is not voluntary consent. Silence or ambiguity do not constitute consent.</p> <p>Additionally, there is no consent when:</p> <ul style="list-style-type: none"> • it is given by someone else. • the person is unconscious, sleeping, highly intoxicated or high, or otherwise lacks the capacity to consent. • it was obtained through the abuse of a position of power, trust or authority. • the person does not signify "yes", says "no" or implies "no" through words or behaviours. • the person changes their mind and withdraws their consent. <p>Consent cannot be implied (for example, by a current or past relationship, by consent to another activity, or by failure to say "no" or resist). In addition, consent cannot be given in advance of sexual activity that is expected to occur at a later time. It is the responsibility of the person wanting to engage in sexual activity to obtain clear consent from the other and to recognize that consent can be withdrawn at any time.</p>



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FORMS

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

No Forms for this Procedure.

RELATED LINKS

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Most Recent Editorial Date: November 15, 2016

Options, Resources and Services for Those who have Experienced Sexual Violence Information Document

Introductory Note:

The University of Alberta respects each person's right to make their own decisions regarding their personal recovery after **sexual violence**. This document is intended to provide a non-exhaustive list of the various options available so that all students, staff, postdoctoral fellows and faculty can assist in making appropriate referrals upon receiving a **disclosure** or make informed decisions for themselves after experiencing sexual violence.

Individual reactions to sexual violence will differ greatly, and a person's decision about how to respond to an experience of sexual violence may change over time. Whether the result of a disclosure or a **complaint**, the University can assist with some of those responses, including providing academic, work or University residence **modifications**, safety planning, personal support, making a complaint or other options that meet the goals of the Sexual Violence policy and related procedures.

Some may need a more comprehensive and coordinated response. The **SVRT** (Sexual Violence Response Team) is convened when an individual discloses that they have experienced sexual violence, and may need more than one modification to meet the goals of the Sexual Violence policy. It is designed to provide access to multiple options, resources and responses without the individual having to approach each service separately.

It should be understood that mediation is not appropriate for situations involving sexual violence. Mediation is a conflict resolution mechanism that presumes all parties have an equal role in resolving a conflict. Sexual violence is not a conflict, but a harm inflicted on another person. Mediation introduces a significant risk of additional harm to the person to whom the violence was done and should never be considered an option in cases of sexual violence.

WHAT ARE MY OPTIONS?

[Personal Support](#) | [Medical Assistance](#) | [Safety](#) | [Modifications](#) – Academic/Work/Living | [Complaints](#) | [Other Resources and Services](#)



Personal Support

OPTION	HOW DO I DO THIS?	WHO CAN ACCESS?
Counselling - University resources	<p><u>Sexual Assault Centre</u>: Drop-in, telephone or email support and information for survivors of sexual assault, sexual harassment, stalking or relationship violence. Specialized counselling services for survivors of sexual assault or sexual abuse. Location, hours and contact information is available at https://www.ualberta.ca/current-students/sexual-assault-centre</p>	Students and employees
	<p><u>Counselling and Clinical Services (CCS)</u> Psychological and psychiatric services for students. *CCS offers counselling in their Students' Union Building offices, as well as satellite offices in the Faculties of Engineering, Science, Arts and Graduate Studies and Research (FGSR). Location, hours and contact information is available at https://www.ualberta.ca/current-students/counselling</p>	Students
	<p><u>Clinical Services, Faculty of Education</u>: confidential specialized counselling services at a subsidized rate of \$25/counselling session. Location, hours and contact information is available at http://www.edpsychology.ualberta.ca/CentresAndInstitutes/ClinicalServices.aspx</p>	Anyone
	<p><u>Campus Saint-Jean Counselling</u>: Confidential counselling services available to all CSJ students. Contact Vie Étudiante for more information or to make an appointment. https://www.ualberta.ca/current-students/counselling/resources https://www.ualberta.ca/campus-saint-jean/services-aux-etudiants/vie-etudiante</p>	CSJ students
	<p><u>Augustana Personal Counselling Centre</u>: Provides confidential support to Augustana students. Location, hours and contact information is available at https://www.ualberta.ca/augustana/services/health/counselling</p>	Augustana students
Counselling - Employee Family Assistance Program	<p><u>Employee Family Assistance Program (EFAP)</u>: provides confidential psychological counselling. They offer face-to-face counseling, telephonic counseling, e-counseling, web based services, and personal debriefing/defusing for emergencies. http://www.hrs.ualberta.ca/en/HealthandWellness/EFAP/ContacttheAssistanceProgram.aspx</p>	Employees



	<p><u>Postdoctoral Fellows Assistance Program (PDAP)</u>: Postdoctoral Fellows at the University of Alberta and their eligible dependents can access counselling directly and at no cost. No referral needed – simply contact Homewood Health Solutions directly. Contact information is available at http://www.hrs.ualberta.ca/en/HealthandWellness/EFAP/ContacttheAssistanceProgram.aspx</p>	Postdoctoral fellows
	<p><u>Graduate Student Assistance Program (GSAP)</u>: Designed to assist all graduate students with a variety of personal issues and includes personal counselling. Contact information is available at http://www.hrs.ualberta.ca/HealthandWellness/EFAP/AssistancePrograms.aspx</p>	Graduate students
	<p>*Any questions relating to the Assistance programs (EFAP, PDAP, or GSAP) can be directed to Homewood Health or the EFAP/PDAP/GSAP Administrator</p> <p>http://www.hrs.ualberta.ca/HealthandWellness/EFAP.aspx</p>	
Spiritual support – University resources	<p><u>Interfaith Chaplains' Association</u>: The university's chaplains are professionally trained and are available to support any student, staff, or faculty member, regardless of whether or not they identify with a particular faith. Location, hours and contact information is available at http://www.chaplains.ualberta.ca/</p>	Students and employees
	<p><u>Augustana Pastoral Counselling</u>: The Augustana Pastor is available to all students, faculty and staff to provide emotional, spiritual and relational direction and counsel. Location, hours and contact information is available here: https://www.ualberta.ca/augustana/services/chaplaincy</p>	Augustana students and employees
Academic Support	<p><u>Student Success Centre</u> provides academic advice and support: http://www.studentsuccess.ualberta.ca/</p>	Students
Other University resources	<p>Anyone wishing to make a confidential disclosure of an experience of sexual violence can contact the <u>Office of Safe Disclosure and Human Rights</u>. https://www.ualberta.ca/disclosure</p>	Students and employees



Other University resources (cont'd.)	<p>The <u>Peer Support Centre</u> is a Students' Union service that offers a free, confidential, and non-judgemental place to talk to someone for support. The PSC also offers a confidential Help Line. Location, hours and contact information is available here: https://www.su.ualberta.ca/services/psc/</p>	Students
	<p><u>Aboriginal Student Services Centre (ASSC)</u>: ASSC staff are committed to supporting Aboriginal students throughout their experience at the University of Alberta. Location, hours and contact information is available at http://www.aboriginalservices.ualberta.ca/</p>	Aboriginal students
	<p><u>Augustana Campus Aboriginal Student Office (ASO)</u>: ASO staff are committed to supporting Aboriginal students throughout their university experience. Location, hours and contact information is available at https://www.ualberta.ca/augustana/services/aso</p>	Aboriginal students – Augustana campus
	<p><u>Residence Services</u>: Residence Assistants (RAs) are specially trained student staff who can connect students to campus resources and respond to after-hours emergencies. Residence Coordinators (RCs) are full-time staff members living in various residences to provide support and guidance both to residents and to student staff.</p> <p>Contact Information and Hours for Residence Services Offices: https://www.residence.ualberta.ca/contact-us</p> <p>To contact an RA or RC after hours, check the on-call number for your residence. https://www.residence.ualberta.ca/current-residents</p>	Students living in residence
Counselling - Community Resources	<p><u>Canadian Mental Health Association Edmonton</u>: Call 780-482-HELP (4357) to talk to someone right away, 24 hours a day. An Online Crisis Chat service is also available. Both services offer a safe, confidential, one-on-one conversation with a Support Team member. http://edmonton.cmha.ca/integration/#.WAeeDvkrJhF</p>	Anyone
	<p>The <u>Sexual Assault Centre of Edmonton</u> offers both individual and group counselling to survivors of sexual violence as well as a 24 hour Sexual Assault Crisis Line staffed by well-trained volunteers. Location, hours and contact information is available at https://www.sace.ab.ca/</p>	Anyone



Counselling - Community Resources (cont'd.)	The <u>Saffron Centre</u> is a sexual assault centre in Sherwood Park that offers help to victims of sexual assault, specializing in crisis intervention, therapy, & education. For more information: http://saffroncentre.com/ .	Anyone
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Medical Assistance

OPTION	HOW DO I DO THIS?	WHO CAN ACCESS?
Receive Medical Attention	<p>University Health Centre: A full-services walk-in medical clinic. Location, hours and contact information is available at https://www.ualberta.ca/services/health-centre.</p> <p>For more information on health insurance: https://www.ualberta.ca/services/health-centre/health-insurance</p>	Students and immediate family members, employees
	<p>Alberta Health Services: Students and employees can locate the closest hospital 24 hour emergency room or walk-in clinic by using the Alberta Health Services Health Care Locator.</p> <p>The Sexual Assault Response Team (SART) is a team of female Registered Nurses who have been trained specifically to care for people who have been sexually assaulted within the past 7 days. SART nurses are available 24 hours a day, and usually arrive within an hour of being called. For locations and availability, see http://www.albertahealthservices.ca/info/service.aspx?id=5591%20</p>	Anyone
	<p>Sexually Transmitted Infections Clinic: Results are provided by phone or in person about 10 days after testing. Locations, hours and contact information is available here: http://www.albertahealthservices.ca/info/service.aspx?id=1001498</p>	Anyone
	<p>St. Mary's Hospital: This Covenant Health facility in Camrose provides a range of healthcare services including a 24/7 Emergency Department.</p> <p>http://www.albertahealthservices.ca/info/facility.aspx?id=1000302</p>	Anyone



Receive Medical Attention (cont'd.)	Camrose Community Health Centre Briarcrest: Public health services. http://www.albertahealthservices.ca/info/facility.aspx?id=1000299	Anyone
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Safety

OPTION	HOW DO I DO THIS?	WHO CAN ACCESS?
Safety planning	<u>University of Alberta Protective Services (UAPS):</u> Visit UAPS in-person or call to arrange a time to visit. One of their Peace Officers will work with you to build a plan that addresses safety concerns specific to your situation. http://www.protectiveservices.ualberta.ca/	Students and employees
	<u>Sexual Assault Centre:</u> Drop-in, telephone or email support. https://www.ualberta.ca/current-students/sexual-assault-centre	Students and employees
Transportation assistance	<u>Safewalk:</u> Safewalk is free of charge and is available to any member of the surrounding community—undergrads, graduate students, staff, faculty, and members of the public. For information on how to access, click: http://www.su.ualberta.ca/services/safewalk/	Anyone
	<u>UAPS Security Escort Service:</u> UAPS also provides a limited security escort service outside of Safewalk hours. Information at http://www.protectiveservices.ualberta.ca/Services/Security%20Escort%20Service.aspx	Students and employees
	Contact <u>Paladin Security</u> (after hours security provider on site at Augustana 11:00 PM to 7:00 AM every day) at 780-563-0067 and request assistance.	Augustana students and employees
Seek interim measures	<ul style="list-style-type: none"> • Interim measures for students, contact the <u>Office of the Dean of Students</u> http://www.deanofstudents.ualberta.ca/ • Interim measures for staff, contact the <u>Office of Safe Disclosure and Human Rights</u> or <u>Human Resource Services</u> 	Students and employees



Seek interim measures (cont'd.)	<ul style="list-style-type: none"> ○ https://www.ualberta.ca/disclosure/ ○ http://www.hrs.ualberta.ca/ • Interim measures for faculty, contact <u>Faculty and Staff Relations</u>, the <u>Office of Safe Disclosure and Human Rights</u>, or Human <u>Resource Services</u>. <ul style="list-style-type: none"> ○ http://www.provost.ualberta.ca/en/ProvostAndVPA/FRStaffList.aspx ○ https://www.ualberta.ca/disclosure/ ○ http://www.hrs.ualberta.ca/ • Interim measures for postdoctoral fellows, contact the <u>Office of the Vice-President (Research)</u> <ul style="list-style-type: none"> ○ http://www.research.ualberta.ca/officeofthevice-presidentresearch.aspx 	
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Modifications

OPTION	HOW DO I DO THIS?	WHO CAN ACCESS?
Coordinated response through SVRT	<p>Where there might be multiple modifications needed, the SVRT can receive a disclosure once and coordinate the response with the person needing the modifications.</p> <p>Anyone can convene the SVRT on behalf of a person who has made a disclosure, or the individual themselves can request the assistance of SVRT.</p> <p>For students needing a coordinated response, contact the Office of the Dean of Students: http://www.deanofstudents.ualberta.ca/</p> <p>For employees or postdoctoral fellows needing a coordinated response, contact the Office of Safe Disclosure and Human Rights: https://www.ualberta.ca/disclosure/</p>	Students and employees
<p>Academic Modifications</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • extensions on assignments • exam deferrals 	Students who have experienced sexual violence or any person who has received a disclosure can make a request for academic modifications. An initial request to a staff member or administrator within the student's Faculty or to the Office of the Dean of Students will be directed to the appropriate staff, who will then work directly with the	Undergraduate and graduate students



<p>(including graduate student candidacy exam and thesis defence)</p> <ul style="list-style-type: none"> • switching classes • moving to part-time status • voluntary leave from program • assistance switching programs • switching graduate supervisors or labs • assistance for graduate students changing the composition of their supervisory committees 	<p>student involved.</p> <p>Examples of staff or offices to whom an initial request can be made include:</p> <ul style="list-style-type: none"> • Sexual Assault Centre • The Professor who is responsible for the academic work where a modification is sought • Faculty Student Services Office • The Assistant Dean, Associate Dean, or Dean in the Faculty • Graduate students should contact the Faculty of Graduate Studies and Research and/or the Graduate Students' Association • The Dean of Students: student can email dosdean@ualberta.ca or visit the 5th floor in the Students' Union Building and ask to speak with a staff regarding academic modifications. The Dean of Students office will liaise with the student's Faculty • Office of the Student Ombuds • Student Success Centre • Student Accessibility Services 	
<p>Modifications to living arrangements (on campus)</p>	<p>Relocation to Another University Residence or Dissolving Residence Contract with a Pro-Rated Refund</p> <p>Students living in residence should speak with their Resident Assistant (RA), Residence Coordinator (RC), or the Housing Office to request a move to another room within residence or another residence building. https://www.residence.ualberta.ca/contact-us</p> <p>The contact information for the specific RA on-call phone of each residences is posted throughout each individual residence community and on the Current Students webpage after selecting the residence you live in.</p>	<p>Students</p>
	<p>The Safe House Program can provide short term, safe (up to two weeks) accommodations while working with university staff who can assist students to address any issues that impacted their living arrangements. To access the Safe House program, students should contact either the Sexual Assault Centre, the Residence Coordinator on call (780-220-0302) in Residence Services. Any of these offices can determine if a student meets the eligibility for Safe House and perform an intake.</p>	<p>Students on North Campus</p>



<p>Modifications to living arrangements (off campus)</p>	<p>Assistance in Dissolving an Off-Campus Tenancy Agreement</p> <p>The <i>Residential Tenancies (Safer Spaces for Victims of Domestic Violence) Amendment Act</i> is legislation that allows victims of domestic violence to end a tenancy early and without financial penalty. Information on the <i>Act</i> can be found here: http://www.servicealberta.gov.ab.ca/pdf/tipsheets/RTA_Safer_Spaces.pdf</p>	<p>Anyone</p>
<p>Work modifications</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • changes in work assignment, hours, location, and/or supervisor • voluntary leave of absence 	<p>Employees seeking work modifications should contact their management supervisor to enter discussions with either Human Resource Services or Faculty and Staff Relations on appropriate modifications.</p> <p>Human Resource Services: http://www.hrs.ualberta.ca/About.aspx</p> <p>Faculty and Staff Relations: http://www.provost.ualberta.ca/en/ProvostAndVPA/FRStaffList.aspx</p>	<p>Employees</p>
	<p>Graduate students who are seeking modifications to Graduate Assistantship positions should contact Human Resource Services or the Graduate Students' Association (GSA).</p> <p>Human Resource Services: http://www.hrs.ualberta.ca/About.aspx</p> <p>Graduate Students' Association: http://www.gsa.ualberta.ca/Contact.aspx</p>	<p>Graduate Assistants</p>
	<p>Postdoctoral Fellows who are seeking modifications should contact the Postdoctoral Fellows Office or the Postdoctoral Fellows Association (PDFA).</p> <p>Human Resource Services: http://www.hrs.ualberta.ca/About.aspx</p> <p>Postdoctoral Fellows Association: http://www.pdfa.ualberta.ca/en.aspx</p> <p>Postdoctoral Fellows Office: http://postdoc.ualberta.ca</p>	<p>Postdoctoral fellows</p>
<p>Modifications to recreational activities</p>	<p>Contact the administrative head for the unit responsible for the activities. Some examples include:</p> <p>Athletics: https://www.ualberta.ca/physical-education-recreation/about-us/www.athletics.ualberta.ca</p> <p>Campus and Community Recreation: recservices@ualberta.ca</p> <p>U of A Mixed Chorus: http://www.mixedchorus.ca/</p>	<p>Students and employees</p>



Complaints

OPTION	HOW DO I DO THIS?	WHO CAN ACCESS?
Complaint, internal to the UofA Options may include: <ul style="list-style-type: none"> • Making a complaint for immediate investigation • Reporting an incident for information only • Requesting that normal timelines be extended 	The Sexual Violence Procedure lays out the processes available under which a complaint may be made. [add url for procedure] Students or employees wishing to make a complaint of sexual violence by a student should contact University of Alberta Protective Services (UAPS) by phone or visit the office in person. Edmonton Campuses: http://www.protectiveservices.ualberta.ca/ Augustana Campus: https://www.ualberta.ca/augustana/services/protective *If you cannot reach the Augustana UAPS office please contact UAPS Headquarters, open 24 hours.	Anyone
	Students or employees wishing to make a complaint of sexual violence by an employee should contact the <u>Office of Safe Disclosure and Human Rights</u> : https://www.ualberta.ca/disclosure	
Report to local law enforcement	Anyone wishing to make a report to local law enforcement should contact either the Edmonton or Camrose Police Services. <u>Edmonton Police Services:</u> http://www.edmontonpolice.ca/CommunityPolicing/PersonalPropertyCrimes/SexualAssault/ReportingSexualAssault.aspx <u>Camrose Police Services:</u> http://camrosepoliceservice.ca/	Anyone
Anonymous reporting	Students, staff, and faculty may choose to make an anonymous report through the <u>Office of Safe Disclosure and Human Rights</u> using their Online Reporting Tool . More information is available here: https://www.ualberta.ca/disclosure	Students and employees
	Students and employees can complete an anonymous third-party report at the <u>Sexual Assault Centre</u> . The name of the reporter will be kept confidential at the Sexual Assault Centre, and the report goes to Edmonton Police Service (EPS). Location, hours and contact information is available here: https://www.ualberta.ca/current-students/sexual-assault-centre	Students and employees



Other Resources and Services

RESOURCE OR SERVICE	HOW CAN THEY HELP ME?	WHO CAN ACCESS?
Reporting worrisome Behaviour	<u>Helping Individuals At Risk</u> : HIAR encourages the campus community to recognize and report at risk behaviours of those at risk of harm to self or others to help connect the individual to resources before a situation escalates. More information is available here: https://www.ualberta.ca/disclosure/individual-at-risk	Students and employees
Neutral third-party advice	<u>Office of the Student Ombuds</u> : The University's ombudspersons are neutral third-party individuals who can provide information, advice, and support to students who have encountered a problem or are in crisis. Location, hours and contact information is available here: http://www.ombudservice.ualberta.ca/	Students
	<u>Augustana Campus Ombuds</u> : Location: 1-106 Augustana Library Email: augustana.ombuds@ualberta.ca	Augustana students
	<u>Office of Safe Disclosure and Human Rights</u> : https://www.ualberta.ca/disclosure	Students and employees
Advocacy and advice	<u>Students' Union (SU)</u> : www.su.ualberta.ca	Undergraduate students
	<u>Graduate Students' Association (GSA)</u> : www.gsa.ualberta.ca	Graduate students
	<u>l'Association des Universitaires de la Faculté Saint-Jean (AUFJSJ)</u> : aufsj.com	Campus Saint-Jean students
	<u>Augustana students association</u> : http://augustana.su.ualberta.ca/	Augustana students
	<u>Postdoctoral Fellows Office</u> http://postdoc.ualberta.ca	Postdoctoral fellows



Advocacy and advice (cont'd)	<u>Non Academic Staff Association (NASA)</u> https://www.nasa.ualberta.ca/	NASA members
	<u>Association of Academic Staff University of Alberta (AASUA)</u> http://www.aasua.ca/	AASUA members
Resource connection	<u>Community Social Work Team: CSW Team provides assistance with service navigation and resource connection.</u> http://community.ualberta.ca/	Undergraduate students, graduate students, postdoctoral fellows

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top]	
Sexual violence	Any sexual act or act of a sexual nature, or act targeting sexuality, whether physical or psychological, committed without consent. This includes, but is not limited to sexual assault, sexual harassment, stalking, indecent exposure, voyeurism, distribution of intimate images, inducing intoxication, impairment or incapacity for the purpose of making another person vulnerable to non-consensual sexual activity, and other analogous conduct.
Disclose/Disclosure	A verbal or written report or account by any person to a member of the University community that they have experienced sexual violence.
Complaint	Usually a written report or statement alleging sexual violence misconduct made to a University official under a University process for the purpose of initiating an investigation and resolution process.
Modifications	Adjustments the University may be able to make for a person who has experienced sexual violence, including to their academic program, employment, University residence or recreational or other programs.
SVRT	The Sexual Violence Response Team of the University of Alberta. At its core, SVRT consists of a representative from the Office of the Dean of Students or Human Resource Services, UAPS and the Sexual Assault Centre. In



	<p>order to provide a timely coordinated response, SVRT will draw additional support from a student's faculty, the Registrar's Office, Faculty and Staff Relations, Residence Services, the Postdoctoral Fellows Office, representatives from other campuses, Office of General Counsel, and any others as needed. SVRT will not include any members who may be investigators or adjudicators in the matter at hand, in the event that the individual decides to pursue a complaint.</p>
<p>Interim measures</p>	<p>Non-disciplinary conditions that the University may impose on a person alleged to have committed sexual violence. Such conditions may be imposed in response to a disclosure or complaint. The purposes of interim measures are to ensure the safety of the person who disclosed or of the University's learning, working and University residence environment, to discourage or prevent retaliation, prevent further sexual violence and/or preserve the University's ability to conduct a thorough investigation. They are not considered sanctions under any University complaint process.</p>

RELATED LINKS

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Supports and Resources

[Association of Academic Staff, University of Alberta \(AASUA\)](#) (University of Alberta)
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[Postdoctoral Fellows Association](#) (University of Alberta)
[Protocol for Urgent Cases of Violent, Threatening or Disruptive Behaviour](#) (University of Alberta)
[Sexual Assault Centre](#) (University)



[Sexual Assault Centre](https://www.sace.ab.ca/) of Edmonton: <https://www.sace.ab.ca/>
[Students' Union](#) (University of Alberta)
[University of Alberta Protective Services](#) (University of Alberta)

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Related policies

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



Most Recent Editorial Date: November 15, 2016

Sexual Violence Interim Measures Information Document

Introductory Note:

Interim measures may be imposed on a person alleged to have committed sexual violence in order to ensure the safety of the learning, working and University residence environment, discourage **retaliation**, prevent further **sexual violence** and/or preserve the University's ability to conduct a thorough investigation. Interim measures may be imposed as a result of a **disclosure** or a **complaint**, and are to be as minimally restrictive as possible to meet the above goals.

Example interim measures for students include:

- A requirement not to have contact with specified individuals
- Limited access to specified areas at specified times
- Limited access to specified areas at all times
- Change in University residence
- Change in class schedule
- Increased monitoring or supervision, for example, periodic check-ins with Protective Services
- Any other condition, restriction or requirement that is appropriate and proportionate to the situation, and that meets the above referenced goals.

In addition, students who have been alleged to have committed sexual violence will be provided with:

- Information on the relevant University processes
- Referrals to or information about support services, including but not limited to:
 - Counseling and Clinical Services
 - Peer Support Centre
 - Office of the Student Ombuds
 - Office of Safe Disclosure and Human Rights
 - Chaplains' Association
 - the Landing
 - Other services and resources as appropriate

Notwithstanding the above, the decision-maker may invoke the University of Alberta *Protocol for Urgent Cases of Disruptive, Threatening or Violent Behaviour* when warranted.

Subject to relevant collective agreements, policy or procedure, example interim measures for employees and postdoctoral fellows may include:

- A requirement not to have contact with specified individuals
- Limited access to specified areas at specified times
- Limited access to specified areas at all times
- Change in work assignment
- Change in work schedule
- Change in work location (for example, working from home or in another location)
- Increased monitoring or supervision
- Non-disciplinary suspension
- Any other condition, restriction or requirement that is appropriate and proportionate to the situation, and that meets the above referenced goals.

In addition, employees and postdoctoral fellows who have been alleged to have committed sexual violence will be provided with:

- Information on the relevant University processes
- Referrals to or information about available supports, including but not limited to:
 - Employee Family Assistance Program / Postdoctoral Fellows Assistance Program
 - GSA, PDFA, NASA or AASUA member services
 - Community counselling services

- o Office of Safe Disclosure and Human Rights
- o Chaplains Association
- o Other services and resources as appropriate

Notwithstanding the above, the decision-maker may invoke the University of Alberta *Protocol for Urgent Cases of Disruptive, Threatening or Violent Behaviour* when warranted.

DEFINITIONS

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

Interim measures	<p>Non-disciplinary conditions that the University may impose on a person alleged to have committed sexual violence. Such conditions may be imposed in response to a disclosure or complaint. The purposes of interim measures are to ensure the safety of the person who disclosed or of the University's learning, working and University residence environment, to discourage or prevent retaliation, prevent further sexual violence and/or preserve the University's ability to conduct a thorough investigation. They are not considered sanctions under any University complaint process and in any complaint process, are without prejudice to the person against whom a complaint is made..</p>
Retaliation	<p>Taking, attempting to take or threatening to take any adverse action or retribution of any kind against anyone involved in a sexual violence process including the person who made a disclosure or complaint, and anyone involved in an investigation or resolution of an allegation of sexual violence, or friends or family members of the same.</p> <p>Retaliation can take many forms, including threats, intimidation, pressuring, harassment, continued abuse, violence or other forms or threats of harm to others, and in varying modes, including in person and in electronic communication or through third parties. Retaliation can also include adverse employment or educational actions made or taken against an individual because of participation in the reporting, investigating and/or resolution of an alleged violation of this policy, or any conduct that would discourage a person from engaging in the same.</p>
Sexual violence	<p>Any sexual act or act of a sexual nature, or act targeting sexuality, whether physical or psychological, committed without consent. This includes, but is not limited to the following:</p> <ol style="list-style-type: none"> a. Sexual Assault - Any form of sexual contact without consent. This can include unwanted or forced kissing, fondling, vaginal or anal penetration or touching, or oral sexual contact. b. Sexual Harassment - as defined in the UAPPOL <i>Discrimination, Harassment and Duty to Accommodate Policy</i>. c. Stalking - Repeated unwanted contact or communication directed at another person that causes reasonable fear or concern for that person's safety or the safety of others known to them. The harm may be physical, emotional, or psychological, or related to the personal safety, property,

	<p>education, or employment of an individual.</p> <p>Stalking can occur physically (such as watching and monitoring, pursuing or following, making threatening or obscene gestures, sending unsolicited gifts), electronically (for example, continuously commenting or contacting via social media, surveillance, letters, text messages, emails or phone calls), and/or through a third party.</p> <p>d. Indecent Exposure - Exposing one's genitals, buttocks and/or breasts or inducing another to expose their own genitals, buttocks and/or breasts in non-consensual circumstances, in person or electronically.</p> <p>e. Voyeurism - Surreptitiously observing and/or recording another individual's full or partial nudity or sexual activity without the knowledge and consent of all parties involved.</p> <p>f. Distribution of Intimate Images - Includes showing, sharing, distributing or streaming of images, video or audio recording of a sexual activity or full or partial nudity of oneself or other members of the University community, without the consent of all the recipient(s) and/or other member(s) of the University community who is/are the subject of the image or recording, or the threat to do the same.</p> <p>g. Inducing intoxication, impairment or incapacity for the purpose of making another person vulnerable to non-consensual sexual activity.</p> <p>h. Other analogous conduct.</p>
Disclose/Disclosure	A verbal or written report or account by any person to a member of the University community that they have experienced sexual violence.
Complaint	Usually a written report or statement alleging sexual violence misconduct made to a University official under a University process for the purpose of initiating an investigation and resolution process.

RELATED LINKS

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Most Recent Editorial Date: November 15, 2016

Sexual Violence Education and Training Information Document

Introductory Note:

One of the many barriers to **disclosing** or making a **complaint** of **sexual violence** is the fear of not being believed. That fear is not unfounded, as misconceptions around sexual violence are prevalent in society. As one example, if a victim did not scream or fight or say “no,” the assumption may be that there must have been implicit **consent**. These assumptions can be held by anyone receiving a disclosure, investigating, or adjudicating a complaint, or even by those who have experienced sexual violence themselves. Education on these and other topics is designed to correct these misconceptions. In addition, research on the potential effects of trauma on memory, recall and behaviour sheds new light on methods for interviewing those who have experienced trauma.

The goals of education, bystander intervention and other training are to help those who experience sexual violence feel safer in disclosing and/or making a complaint and seeking support; ensure that those who receive disclosures know how to support and refer; allow investigators to use trauma-informed interview techniques in order to get the best information possible from **complainants**; and ensure that decision-makers in complaint processes are able to appropriately interpret the evidence before them. Below is a non-exhaustive list of selected training and education opportunities. Any other relevant training should also be considered, as appropriate.

FOR THE UNIVERSITY COMMUNITY

The resources below are available to members of the University community at no cost and provide education and training in the areas of understanding sexual assault, consent, bystander intervention, gender based violence, effects of trauma and trauma-informed interviewing.

Sexual Assault Centre (no cost)

- Videos: Understanding Sexual Assault <https://www.youtube.com/watch?v=3j3qgLRQalw&list=PL2V1RRG3M1rTKPuhw2eHWvVIVcrBcDKsH&index=1>
- Online guide: How to Respond to a Disclosure of Sexual Violence <https://www.ualberta.ca/current-students/sexual-assault-centre/responding>
- Working for Change workshops: Email edcoord@ualberta.ca

the Landing (no cost)

The Gender Based Violence Prevention Program (GBVPP) is a campus and community-wide initiative designed to increase awareness, education, communication, inclusion and safety. Education and training sessions consisting of interactive modules are available as a comprehensive program or individually as workshops. Contact the Landing (thelanding@su.ualberta.ca) to request the program, a module or combination of modules, or a custom workshop for any group. Modules include:

1. Introduction: Role of Athletes/Athletics/Greek Culture in Violence Prevention
2. Module 1: Introduction and Critical Thinking of Gender Roles - Thinking outside the box
3. Module 2: Gender and Healthy Sexuality; Healthy Relationships
4. Module 3: LGBTQ Inclusivity, Safe Spaces, Language
5. Module 4: Gender Based Violence Part 1
6. Module 4: Gender Based Violence Part 2, Sexual Assault & Consent (Including alcohol and consent)
7. Module 5: Alcohol Strategies on Campus
8. Module 6: Role of Media

Residence Life (no cost)

- Can I Kiss You? - for all first-year residents
- SHARC Week (Sexual Health, Relationships and Consent) - for all residents, every October
- Sex - Online module on consent, healthy relationship - for all first year residents



FOR THOSE MORE LIKELY TO RECEIVE DISCLOSURES

Some of our community members may be more likely to receive disclosures, including Resident Assistants, coaches, supervisors, student advisors of all kinds, student leaders, graduate coordinators, student group members, and many others. For those individuals, additional training on receiving disclosures and making appropriate referrals is available including the following:

The **Sexual Assault Centre** provides the following workshops free of charge. Email edcoord@ualberta.ca to request a workshop (at no cost):

- Student Advisor's Disclosure Training
- Residence Coordinator Disclosure Training
- Workshop for Supporters
- Customized workshops
- Sexual Assault and Relationships (through the Community Helpers Program facilitated by the Community Social Work Team <http://community.ualberta.ca/en/Programs/CommunityHelpersProgram.aspx>)

The **Office of Safe Disclosure and Human Rights** provides training on request for faculties, staff groups, classes and student groups. Contact osdhr@ualberta.ca to arrange training.

- Good disclosure practices

For Resident Advisors (no cost):

- Sexual Assault Response, Prevention and Responding to a Disclosure (e-class and in-person workshop put on by the Sexual Assault Centre)
- Inclusivity in Residence (offered by ISMSS or the Landing)

FOR BYSTANDERS

Bystander intervention is a way to prevent sexual violence from occurring in the first place. It emphasizes recognizing the danger signs and taking steps to interrupt the possibility of sexual violence.

The **Sexual Assault Centre** provides the following free of charge. Email edcoord@ualberta.ca to request a workshop:

- Bystander Intervention

the Landing provides the following free of charge. Email <http://thelandingualberta.ca/> to request a workshop:

- GBVPP custom workshops on request

The **Office of Safe Disclosure and Human Rights** provides training on request for faculties, staff groups, classes and student groups. Contact osdhr@ualberta.ca to arrange training.

- "Upstanding" against harassment

Residence Life offers information on bystander intervention:

- "Can I Kiss You?" offered to all first-year residents in the fall of each year.

FOR INVESTIGATORS AND ADJUDICATORS

Anyone investigating or adjudicating complaints of sexual violence should, at a minimum, have appropriate training in:

1. Understanding sexual assault
2. The effects of trauma on memory and behaviour
3. Trauma-informed interviewing



Below are some examples of available training:

The **Sexual Assault Centre** (no charge):

- Sexual Assault Responder Disclosure Training (Email edcoord@ualberta.ca to request a workshop)
- Videos: Understanding Sexual Assault
<https://www.youtube.com/watch?v=3j3ggLRQalw&list=PL2V1RRG3M1rTKPuhw2eHWvVIVcrBcDKsH&index=1>
- Online guide: How to Respond to a Disclosure of Sexual Violence <https://www.ualberta.ca/current-students/sexual-assault-centre/responding>

End Violence Against Women (EVAWI) provides online education and training, free of charge. The archive is constantly updated as new training is offered:

Webinars <http://www.evawintl.org/WebinarArchive.aspx>

- Neurobiology of Sexual Assault (part 1 and 2)
- Effective Report Writing: Using the Language of Nonconsensual Sex
- Successfully Investigating Sexual Assault Against People with Disabilities
- Forensic Experiential Trauma Interview (FETI), Part 1 & 2
- Effective Victim Interviewing

Online courses <http://www.evawintl.org/onlinetraining.aspx>

- Dynamics: What does Sexual Assault Really Look Like?
- Effective Report Writing: Using the Language of Nonconsensual Sex
- Preliminary Investigation: Guidelines for First Responders
- Victim Impact: How do Sexual Assault Victims Respond?
- Interviewing the Victim: Techniques Based on the Realistic Dynamics of Sexual Assault
- False Reports: Moving Beyond the Issue to Successfully Investigate Sexual Assault
- Successfully Investigating Sexual Assault Against People with Disabilities
- Drug and Alcohol Facilitated Sexual Assault (coming soon)

DEFINITIONS

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

Disclose/Disclosure	A verbal or written report or account by any person to a member of the University community that they have experienced sexual violence.
Complaint	Usually a written report or statement alleging sexual violence misconduct made to a University official under a University process for the purpose of initiating an investigation and resolution process.
Sexual violence	Any sexual act or act of a sexual nature, or act targeting sexuality, whether physical or psychological, committed without consent. This includes, but is not limited to the following: <ul style="list-style-type: none"> a. Sexual Assault - Any form of sexual contact without consent. This can include unwanted or forced kissing, fondling, vaginal or anal penetration or touching, or oral sexual contact.

	<p>b. Sexual Harassment - as defined in the UAPPOL <i>Discrimination, Harassment and Duty to Accommodate Policy</i>.</p> <p>c. Stalking - Repeated unwanted contact or communication directed at another person that causes reasonable fear or concern for that person's safety or the safety of others known to them. The harm may be physical, emotional, or psychological, or related to the personal safety, property, education, or employment of an individual.</p> <p>Stalking can occur physically (such as watching and monitoring, pursuing or following, making threatening or obscene gestures, sending unsolicited gifts), electronically (for example, continuously commenting or contacting via social media, surveillance, letters, text messages, emails or phone calls), and/or through a third party.</p> <p>d. Indecent Exposure - Exposing one's genitals, buttocks and/or breasts or inducing another to expose their own genitals, buttocks and/or breasts in non-consensual circumstances, in person or electronically.</p> <p>e. Voyeurism - Surreptitiously observing and/or recording another individual's full or partial nudity or sexual activity without the knowledge and consent of all parties involved.</p> <p>f. Distribution of Intimate Images - Includes showing, sharing, distributing or streaming of images, video or audio recording of a sexual activity or full or partial nudity of oneself or other members of the University community, without the consent of all the recipient(s) and/or other member(s) of the University community who is/are the subject of the image or recording, or the threat to do the same.</p> <p>g. Inducing intoxication, impairment or incapacity for the purpose of making another person vulnerable to non-consensual sexual activity.</p> <p>h. Other analogous conduct.</p>
Consent	<p>Consent is a voluntary, ongoing, active and conscious agreement to engage in the sexual activity in question. Consent or a "yes" that is obtained through pressure, coercion, force, threats or by inducing intoxication, impairment or incapacity is not voluntary consent. Silence or ambiguity do not constitute consent. Additionally, there is no consent when:</p> <ul style="list-style-type: none"> • it is given by someone else. • the person is unconscious, sleeping, highly intoxicated or high, or otherwise lacks the capacity to consent. • it was obtained through the abuse of a position of power, trust or authority. • the person does not signify "yes", says "no" or implies "no"



	<p>through words or behaviours.</p> <ul style="list-style-type: none"> the person changes their mind and withdraws their consent. <p>Consent cannot be implied (for example, by a current or past relationship, by consent to another activity, or by failure to say “no” or resist). In addition, consent cannot be given in advance of sexual activity that is expected to occur at a later time. It is the responsibility of the person wanting to engage in sexual activity to obtain clear consent from the other and to recognize that consent can be withdrawn at any time.</p>
Complainant	An individual who makes a complaint under a University process.

RELATED LINKS

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

Supports and Resources

[Association of Academic Staff, University of Alberta \(AASUA\)](#) (University of Alberta)
[Community Social Work Team](#) (University of Alberta)
[Counselling and Clinical Services](#) (University of Alberta)
[Employee Family Assistance Program](#) (University of Alberta)
[Faculty of Graduate Studies and Research](#) (University of Alberta)
[Graduate Students' Association](#) (University of Alberta)
[Human Resource Services](#) (University of Alberta)
[Interfaith Chaplains' Association](#) (University of Alberta)
[the Landing](#) (University of Alberta)
[Non Academic Staff Association \(NASA\)](#) (University of Alberta)
[Office of the Dean of Students](#) (University of Alberta)
[Office of Safe Disclosure and Human Rights](#) (University of Alberta)
[Office of the Student Ombuds](#) (University of Alberta)
[Peer Support Centre](#) (Students' Union)
[Postdoctoral Fellows Association](#) (University of Alberta)
[Protocol for Urgent Cases of Violent, Threatening or Disruptive Behaviour](#) (University of Alberta)
[Sexual Assault Centre](#) (University)
[Sexual Assault Centre of Edmonton: <https://www.sace.ab.ca/>](#)
[Students' Union](#) (University of Alberta)
[University of Alberta Protective Services](#) (University of Alberta)

Information

[Options, Resources and Services for those who have Experienced Sexual Violence Information Document](#) (UAPPOL)
[Sexual Violence Interim Measures Information Document](#) (UAPPOL)
[Options for Survivors of Sexual Assault](#) (Sexual Assault Centre, University of Alberta)
[Responding to a Disclosure of Sexual Assault](#) (University of Alberta)
[Review of the University of Alberta's Response to Sexual Assault](#)

Complaint mechanisms

[Faculty Agreement](#) (University of Alberta)
[Librarian Agreement](#) (University of Alberta)
[Administrative and Professional Officer Agreement](#) (University of Alberta)
[Code of Student Behaviour](#) (University of Alberta)



[Community Standards Policy for University Residences](#) (University of Alberta)

[Contract Academic Staff: Teaching Agreement](#) (University of Alberta)

[Faculty Service Officer Agreement](#) (University of Alberta)

[Graduate Student Assistantship Collective Agreement](#) (University of Alberta)

[NASA Collective Agreement](#) (University of Alberta)

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

[Sessional and Other Temporary Staff \(SOTS\) Agreement](#) (University of Alberta)

[Trust/Research Academic Staff \(TRAS\) Agreement](#) (University of Alberta)

Related policies

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

[Discrimination, Harassment and Duty to Accommodate Policy](#) (University of Alberta)

[Ethical Conduct and Safe Disclosure Policy](#) (University of Alberta)

[Helping Individuals At Risk Policy](#) (University of Alberta)

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

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

OUTLINE OF ISSUE

Agenda Title: **University of Alberta 2016-2017 Annual Report to Government of Alberta**

Motion: THAT the Board of Governors, on the recommendation of the Board University Relations Committee, approve and adopt the *University of Alberta 2016-2017 Annual Report* and empower the Interim Associate Vice-President (Audit & Analysis) to make any editorial changes to the *Report*, as needed, as long as the changes do not have the force of policy.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Information
Proposed by	Gitta Kulczycki (Vice-President, Finance and Administration)
Presenter	Deborah Williams, Interim Associate Vice-President (Audit and Analysis)

Details

Responsibility	Finance and Administration
The Purpose of the Proposal is (please be specific)	<p>The Annual Report is a requirement of the Government of Alberta, prepared in accordance with provincial guidelines and reports on the university's <i>Comprehensive Institutional Plan</i> and accomplishments during the period of April 1, 2016 to March 31, 2017.</p> <p>The Report is also intended to function as a report to the university community on progress against <i>For the Public Good</i>. Accordingly, the document reports thematically on the five goals articulated in <i>For the Public Good</i>, while also demonstrating how these contribute to advancing government's adult learning system principles (accessibility, affordability, quality, coordination, accountability).</p>
The Impact of the Proposal is	Satisfies accountability requirements under the <i>Post-Secondary Learning Act</i> .
Replaces/Revises	N/A
Timeline/Implementation Date	Deadline for submission to government is September 30, 2017.
Estimated Cost /funding source	N/A
Next Steps	Following approval, the Report will be submitted to Alberta Advanced Education.
Supplementary Notes and context	<p>To meet Advanced Education's submission deadline, the Annual Report must be approved in June by the Board of Governors. This necessitates that the Annual Report and Financial Statements move through the approval process concurrently.</p> <p>The version of the Annual Report recommended by BURC was a draft that did not include the Financial Statements. They have now been incorporated and the Annual Report has been professionally designed.</p> <hr/> <p>Note that minor updates to Performance Measures will be incorporated as current data becomes available.</p> <hr/> <p>Based on comments from the GFC Academic Planning Committee, the following two changes were made:</p>

Item No. 4ei

	<p>1. Addition re: Campus Saint-Jean (CSJ) diversity CSJ is a diverse campus, home to staff from 31 countries and students from 23 countries.</p> <p>2. Question on CSJ project on page 63: This project was correctly reported as proposed for \$40 million. However, the project was not approved by government so was subsequently re-profiled from an expansion to a SIF renovation.</p> <hr/> <p>Following the Board University Relations Committee meeting, the following editorial changes were made:</p> <p>1. Minor wording changes throughout to ensure consistency of terminology and figures across publications (employee numbers and use of the term Indigenous)</p> <p>2. Minor corrections to Board of Governors listing (updated appointment dates and terminology)</p> <p>3. Updated description of Botanic Garden to remove duplication.</p>
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Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u><i>Those who have been informed:</i></u></p> <ul style="list-style-type: none"> •
	<p><u><i>Those who have been consulted:</i></u></p> <ul style="list-style-type: none"> • President's Executive Committee – Operations • Office of the President • General Faculties Council Academic Planning Committee
	<p><u><i>Those who are actively participating:</i></u></p> <ul style="list-style-type: none"> • Office of the Provost and Vice-President (Academic) – member of Annual Report advisory committee; coordination of faculty input • Government and Stakeholder Relations – member of Annual Report advisory committee • Internal Communications – member of Annual Report advisory committee • Vice-President (Research) (research components) • Facilities and Operations (capital plan component) • University Relations (community engagement components) • Financial Services (financial components) • University of Alberta International (internationalization components) • Information Services and Technology (IT components) • Office of the Registrar (enrolment-related components) • Office of the Dean of Students (student service components)
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Academic Planning Committee (for discussion) – May 10, 2017 Board Audit Committee – May 29, 2017 (for discussion and information; approval of financial information) Board University Relations Committee – June 1, 2017 – for recommendation to the Board Board of Governors – June 23, 2017 (for approval)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Reports on the 2016 Comprehensive Institutional Plan</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA) Section 79 states: “(1) Each year a board must prepare and submit to the Minister a report that includes (a) the audited financial statements for the preceding fiscal year, and (b) any other information the Minister requires. (2) The annual report must be submitted to the Minister on or before the date specified by the Minister.”</p> <p>2. GFC Academic Planning Committee Terms of Reference 3. Mandate of the Committee: “The Academic Planning Committee (APC) is GFC's senior committee dealing with academic, financial and planning issues. [...]” 15. a. To recommend to the Board of Governors and/or GFC on any other matter deemed by APC to be within the purview of its general responsibility.”</p> <p>3. Board Audit Committee Terms of Reference 3. Mandate: “Except as provided in Section 4 hereof and in the Board's General Committee Terms of Reference, the Committee shall monitor, evaluate and make decisions on behalf of the Board with respect to all auditing, financial reporting and internal control functions relating to the University.” “Other Responsibilities... (aa) the Committee shall review the performance of the University in the areas of responsibility of the Committee, against key strategic performance Page 6 initiatives and performance measure reports and results in place from time to time and report thereon to the Board.”</p> <p>4. Board University Relations Committee Terms of Reference 2. Mandate: “The Committee guides efforts to ensure that the University identifies and effectively interprets strategic communication themes and key messages to targeted audiences, to enhance relationships, influence outcomes and advance the university’s interests.” 3. Scope of Duty: “a. Recommend Board approval of proposals within the Committee mandate...” and “e. Maintain oversight, at the appropriate governance level, on institutional and strategic issues within the Committee Mandate.”</p>

Attachments:

1. University of Alberta Annual Report 2016-17 (162 pages)

2016-2017

ANNUAL REPORT



The University of Alberta respectfully acknowledges that we are located on Treaty 6 territory, traditional lands of First Nations and Métis people.

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2016-17 BOARD OF GOVERNORS

BOARD OF GOVERNORS AS OF MARCH 31, 2017

MEMBER	CONSTITUENCY
Michael Phair, Chair	General Public
Richard W. Wilson, Vice-Chair	General Public
Colin Champagne	Undergraduate Board of Governors Representative
David Cooper	Academic Staff Representative (AASUA Appointee)
Sara Ficko	Graduate Students' Association
Dominique Grégoire <i>(appointed March 2017)</i>	General Public
Barry James	University of Alberta Senate Representative
LeRoy Johnson	General Public
Raymond Muzyka	General Public
Lynne Paradis <i>(appointed March 2017)</i>	General Public
Lynn Parish <i>(appointed March 2017)</i>	General Public
Robert Parks	University of Alberta Alumni Association Representative
Fahim Rahman	President, Students' Union
Jeremy Richards	Academic Staff Representation (General Faculties Council)
Zahra Somani <i>(appointed March 2017)</i>	General Public
Sheri Somerville <i>(appointed March 2017)</i>	General Public
Douglas Stollery <i>(appointed June 2016)</i>	Chancellor, University of Alberta
Glenn Stowkowy	University of Alberta Alumni Association Representative
Owen Tobert <i>(appointed March 2017)</i>	General Public
David Turpin	President and Vice-Chancellor, University of Alberta
<Vacancy>	Non-Academic Staff Representative (NASA Appointee)



ACCOUNTABILITY STATEMENT

The University of Alberta's Annual Report for the year ended March 31, 2017, was prepared under the Board's direction in accordance with the Fiscal Planning and Transparency Act and ministerial guidelines established pursuant to the Post-Secondary Learning Act. All material economic, environmental or fiscal implications of which we are aware have been considered in the preparation of this report.

Original signed by Michael Phair
Chair, Board of Governors

MESSAGE FROM THE PRESIDENT

At the University of Alberta, we begin with people—people with ideas, talent, and purpose. Then, we act. We seek knowledge. We educate citizens. We ask the big questions. We push the limits of human understanding and knowledge. We engage with partners and communities close to home and around the world to lead positive change. We empower creative people to take risks and make imaginative leaps towards as yet undetermined futures.

Why? The answer is simple: We are a public university acting for the public good.

-For the Public Good

At the mid-point of the 2016-2017 year, the University of Alberta community affirmed our commitment to serving the public good at the launch of our new institutional strategic plan in September 2016. Called *For the Public Good*, our plan outlines the goals we are pursuing and the strategies we must enact to fulfill our vision to inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good.

Our institutional strategic goals are to:

- BUILD a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.
- EXPERIENCE diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.
- EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.
- ENGAGE communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.
- SUSTAIN our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all.

To fulfill our plans, continued, mutually rewarding engagement with communities, public and private sector organizations, Indigenous nations and groups, industry, and all levels of government is key. We will work with them, and as partners, serve the province of Alberta and its citizens in building prosperity and strengthening communities.

In this report, we demonstrate that, in implementing and meeting our *For the Public Good* goals, we also advance the Government of Alberta's five objectives for our province's integrated adult learning system: Accessibility, Affordability, Quality, Coordination, and Accountability. For example, to build a diverse, inclusive community, the university and its faculties are developing targeted recruitment strategies (increasing access), programs (broadening quality), financial supports (ensuring affordability) and student services (improving coordination) dedicated to Alberta's fast-growing Indigenous student population. We are coordinating and generating new initiatives, curriculum, and partnerships with Indigenous peoples to respond to and be accountable to the Calls to Action of the Truth and Reconciliation Commission.

Throughout the following 2016-2017 Annual Report, you will find many other examples of how the progress we have made towards fulfilling our *For the Public Good* goals and strategies also meets the government's five adult learning system objectives. As this province's oldest university, we take seriously our role as anchor of Alberta's integrated, diverse post-secondary education sector. We stand among Canada's top five premier research-intensive, medical-doctoral universities. This quality—which is based on innovative teaching and learning and a breadth of research excellence—means that Alberta's students have affordable access to educational experiences that rival the best in the world and to researchers tackling some of the gravest challenges faced by our local and global communities.

Albertans have this access because of the Government of Alberta's steadfast support for post-secondary education and the University of Alberta's long record of excellence and accountability. The result of this historical partnership has been a highly educated workforce, on the one hand, and highly developed economic sectors and industries, on the other. To ensure that Alberta's communities and citizens continue to prosper into the future, the University of Alberta and the Government of Alberta must continue to work together to create the conditions needed to forge new knowledge, impart 21st century skills, instill creative mindsets, spark new businesses and industries, and build community resilience.

Together, we can and will propel Alberta to a place of unprecedented leadership, and in common cause, we will build a better province, a better Canada, and a better world.

A handwritten signature in black ink, appearing to read 'David H. Turpin', with a large, stylized initial 'D'.

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

OPERATIONAL OVERVIEW

In June 2016, the Board of Governors approved *For the Public Good*, as the University of Alberta's new institutional strategic plan. This approval followed the unanimous recommendation of the plan from General Faculties Council after broad consultation. *For the Public Good* articulates the University of Alberta's long-term, multi-layered plan to guide overall decision-making, and is structured around five broad strategic goals: Build, Experience, Excel, Engage, and Sustain. Because of the engagement of so many in the planning process, *For the Public Good* reflects the ideas, insights, values and aspirations of our community as a whole.

Some of the goals, objectives and strategies in *For the Public Good* can be implemented immediately, as reflected in this annual report, and others will unfold over the course of the next decade. *For the Public Good* envisions a number of targeted efforts that will position the university to respond to transformative developments and trends that cut across the U of A's mandate for teaching, research, and community engagement.

The U of A remains committed to supporting accessibility for Alberta students. Through a range of targeted recruitment activities, the university is reaching out widely to Alberta high school students and post-secondary transfer students from the Campus Alberta system, as well as to Indigenous, rural and francophone students. Accessibility for these groups, particularly under-represented student cohorts, is a key focus and is supported by the construction—underway—of over 800 new residence spaces on North Campus. Our national recruitment activities are focused on attracting high-achieving high school students from other provinces without reducing access for qualified Albertans.

The university takes seriously its responsibility for providing supports that sustain the success of all of our students, regardless their circumstances. The profile of **student mental health** and the challenges of proactively providing services to address mental health concerns are ever-growing, and the university continues to provide a robust system of mental health services.

Under *For the Public Good*, the University of Alberta takes seriously its responsibility to respond to the Calls to Action in the Truth and Reconciliation (TRC) report. The university has made a commitment to develop “a thoughtful, respectful, meaningful, and sustainable response to the report.” The university has made considerable progress on this goal in the last year, building a foundation of relationships with Indigenous communities and institutions and extending supports for faculty, staff, and students. These wide-ranging commitments specifically respond to the post-secondary-focused Calls to Action issued by the TRC and have positive, impactful implications for faculties, for student services, and for front-line staff across the university, and will remain a growing priority for years to come.

Teaching and learning is a rapidly evolving landscape, driven in significant ways by both student expectation and by opportunities and demands to connect more efficiently with other institutions and communities locally, nationally, and internationally. In order to maintain its standing as a world-class institution, the University of Alberta continues to innovate in and beyond real and

virtual classrooms. Through a **revamped Centre for Teaching and Learning**, as well as an exciting range of **experiential learning opportunities**—co-ops, internships, community service-learning, volunteerism, and more—the university is driving excellence in the student experience. The U of A's world-class leadership in Massive Open Online Courses (**MOOCs**) and online programming, exemplified by the launch of the popular Mountains 101 and Indigenous Canada MOOCs this year, ensures that we remain at the cutting edge of digital learning, while also expanding access and reach to quality U of A teaching.

The landscape of research funding in Canada continues to evolve, with an increasing emphasis on large-scale support for collaborative, multi-disciplinary research groups tackling major societal problems. While continuing to enable U of A researchers to excel across a wide range of fields and disciplines, the university is also maximizing its capacity to lead change by nurturing dynamic, multi- and inter-disciplinary teams that are able to take multi-faceted approaches to problems. This year we launched a process to define **university-wide Signature Areas** of multi-disciplinary global leadership in alignment with this goal.

Through the **Future Energy Systems** initiative, the university has capitalized on its broad expertise in energy and climate science, receiving \$75 million under the Canada First Research Excellence Fund to lead and meet the global call to action to enable the transition to a lower-carbon energy economy. The U of A's globally-recognized leadership in machine learning and artificial intelligence was also recognized under the \$125 million Pan-Canadian Artificial Intelligence Strategy and both of these areas will constitute key focus areas in coming years.

A number of other emerging trends locally, nationally, and internationally present pressures for the university's operations.

The university continues to witness demand—both from students and from employers—for **professional master's degree programs and professional certifications**, the creation of which is presently constrained by restrictions on revenue-generating programming. While the university works to develop proposals that are sustainable and fruitful for the university and that are responsive to needed student programming, institutions from outside Alberta are actively setting up these programs in the province and filling the identified need. The university remains hopeful that Advanced Education's reviews of the tuition and funding models for post-secondary institutions will open the door for universities to embrace these opportunities.

Emerging shifts in the labour environment for staff in the post-secondary environment may have transformative impacts going forward. The university is actively preparing for the implementation of new labour legislation.

While direct impacts of the American election and Brexit have not yet been felt, it is worth noting that the university anticipates the possibility of increased interest in the University of Alberta. As already experienced by other Canadian institutions, American and British academics, and students, currently working or studying in the United States and United Kingdom may now be exploring other options.

The university is cognizant of fiscal constraints in Alberta. While the continuing tuition freeze for domestic students presents ongoing revenue challenges, the university has benefitted from continued provincial investment in the post-secondary sector. To ensure continuing fiscal sustainability, the university continues to seek efficiencies across its operations. Moreover, with five well-established major campuses to support, the university has prioritized infrastructure investments to renew and optimize utilization of existing infrastructure.

Public sector institutions like the University of Alberta play a critical role in the economy from many different perspectives. The university attracts hundreds of millions of dollars from outside Alberta largely for research, creating high paying professional employment opportunities and subsequent spin-off benefits to the Alberta economy. The university attracts thousands of students from around the world, further bolstering the economy and bringing highly-skilled individuals to our province. As a world-leading research institution, the university supports diversification of the economy. Finally, it is educating tens of thousands of students who will create further economic benefits and assist in economic diversification. Providing the necessary increases to the Campus Alberta Grant is a sound investment as the University of Alberta functions as a critical buffer to the economy while other industries and sectors continue to adjust to the current economic environment.

SUMMARY STATISTICS

TABLE 1. SUMMARY STATISTICS

	2015-16 ACADEMIC YEAR	2016-17 ACADEMIC YEAR
TUITION		
Arts & Science	\$5,321	\$5,321
Law	\$10,221	\$10,221
Medicine	\$12,044	\$12,044
M.A., M.Sc., and PhD	\$3,662	\$3,662
FACULTY & STAFF (FTE)		
Faculty	2,081	2,099
Other Academic Staff	1,923	1,985
Support Staff (operating and trust-funded)	5,019	5,082
RESEARCH REVENUE (THOUSANDS OF DOLLARS)		
	2015-16 FISCAL YEAR	2016-17 FISCAL YEAR
	\$441,229	\$478,087 (preliminary)
DEGREES & DIPLOMAS GRANTED		
	2015 CALENDAR YEAR	2016 CALENDAR YEAR
Total	8,833	8,844
Undergraduate	6,784	6,809
Graduate	2,049	2,028
Career Preparation	0	7

Notes: Tuition figures are meant as examples. Complete tuition can be found at <http://www.registrarsoffice.ualberta.ca/Costs-Tuition-Fees.aspx>. Faculty and Staff FTE is as of October 1 of the reported year. Other academic staff includes Contract Academic Staff, Teaching, Research Academic Staff, Faculty Service Officers, Librarians and Administrative Professional Officers, Contingent Faculty Service Officer and Other Academic and Temporary Admin Professionals. Career Preparation diplomas (Diplôme de Techniques d'administration des affaires) were first earned in 2016.

GOALS, PRIORITY INITIATIVES, EXPECTED OUTCOMES, AND PERFORMANCE MEASURES

The University of Alberta's new institutional strategic plan, *For the Public Good*, was unanimously approved by the General Faculties Council and the Board of Governors in June of 2016. This plan affirms our guiding ethos to "inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good."

This section reports on the initiatives and outcomes identified in the 2016 Comprehensive Institutional Plan, re-organized according to the five top-level goals expressed in *For the Public Good*: to **Build** a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada, and the world; to **Experience** diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success; to **Excel** as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service; to **Engage** communities across our campuses, city and region, province, nation and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations; and to **Sustain** our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.

These goals and initiatives directly support Alberta's *Adult Learning System Principles*: ensuring the *accessibility* of a wide range of programs and experiences to Albertans and top students from Canada and the world; maintaining the *affordability* of the U of A experience and the sustainability of our programming and infrastructure; delivering research and teaching that has global *quality*, relevance, and impact; promoting *coordination* within and beyond our walls, with partners in education, community, government, and industry; and embracing our *accountability* to government, to our community, and to a wide array of stakeholders within and beyond the academy.

Through extensive consultation, the university has developed a set of performance indicators for reporting on *For the Public Good*. Some measures from the 2016 CIP have been replaced in cases where improved outcome measures are now available. Goals have been re-numbered for this report.

BUILD

GOAL

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

Through the development of strategic recruitment, retention, and renewal plans, the University of Alberta is working to build a community of exceptional students, educators, scholars, researchers, and staff from Alberta, Canada, and the world. We aim to foster an inclusive culture in which people excel through exchange and collaboration, enriched by the diversity of individuals, groups, disciplines, perspectives, approaches, and questions that comprise our community. We sustain this culture and community through rich educational and life experiences in a supportive learning environment.

– For the Public Good

The University of Alberta is committed to accessibility for Albertans, Canadians, and citizens of the world. As a Comprehensive Academic and Research Institution (CARI), the U of A plays a critical role in the post-secondary system by providing access within Alberta to a full range of foundational programs, specialized and professional programs, and graduate programs, along with the diversity of experiences offered by a true multi-campus environment. The U of A is equally committed to affordability, which the university supports through extensive financial aid as well as by ensuring that students have access to programs within their home province. Access is also supported by robust mental health supports and initiatives to prevent and address sexual violence, detailed under Sustain.

Finally, the university is committed to responding to the Calls to Action of the Truth and Reconciliation Commission of Canada with concrete initiatives that contribute to closing the educational gap between Indigenous and non-Indigenous people and improving relationships with Indigenous peoples and communities. Work is also presently underway in several faculties, via curriculum development, to Indigenize the curriculum to educate students, and the broader public, on the histories of the Indigenous peoples of Canada as well as the residential school legacy itself.

GOALS AND PRIORITY INITIATIVES

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
G1 Increase the breadth of locations from which U of A undergraduate students are drawn	Nearly half of the undergraduate students at the U of A currently list their hometown as Edmonton. Increase geographical reach to bring a diverse group of Albertans, Canadians, and international students to the U of A to serve provincial labour market development	2025	Accessibility	Build 1
G2 Faculty Renewal	Renew the professoriate to improve the balance of ranks and increase diversity.	2025	Quality	Build 2
G3 Increase recruitment and retention of Indigenous students	Increase the number of Indigenous students to reflect their demographic representation in the Alberta population. Improve retention of Indigenous students to match retention for other groups in the same cohort.	2025	Accessibility	Build 1, 4
P1 Increase recruitment of Alberta students from outside the Greater Edmonton area	Increase reach and impact of recruitment activities across the province.	2025	Accessibility, Affordability	Build 1.i
P2 Increase support for Indigenous students	Identify needs, tailor and enhance service availability upon acceptance, upon arrival on campus, and early in the program; indigenizing campuses.	2020	Accessibility	Build 1.ii
P3 Increase recruitment of international students and seek a more even distribution of countries of origin	Increase the opportunities for local students to experience international connections; enhance the global community; and reduce reliance on a small number of sources for international students.	2025	Accessibility, Quality	Build 1.iii
P4 Increase the number of assistant professors	Assistant professors represent the academic future of the university. The pool needs renewal, as it has been depleted over recent years.	2025	Quality	Build 2.i
P5 Increase faculty identifying as Indigenous	Prioritize the hiring of scholars who are members of Indigenous groups.	2025	Accessibility, Quality	Build 2.ii
P6 Increase the diversity of the academy	Individuals with diverse backgrounds expand our available conceptual tools, leading to a more creative academy. Prioritize hiring women and visible minorities, institute a high-level review of current status and hiring processes, and develop strategies for increasing awareness and diversity.	Ongoing, achieved by 2025	Accessibility, Quality	Build 2.ii
P7 Indigenization of the curriculum	Increase the exposure of all faculty, staff, and students to Indigenous history and traditional ways of knowing.	2018	Accessibility, Quality	Build 4.i
P8 Complete Maskwa House of Learning	Provide a space where Indigenous and non-Indigenous people can meet on campus to learn about each other. This new space will also support ceremonies, events, and services for Indigenous peoples. Renewed programming within Education North will be offered in conjunction with initiative.	2018	Accessibility	Build 4.ii

RECRUITMENT AND ACCESS INITIATIVES

Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world

– For the Public Good

The U of A provides access to a full range of foundational programs, specialized professional programs, and graduate programs that drive research and innovation. By ensuring the availability of a wide array of programs within the province, we support a diversity of career aspirations and wider economic objectives. It is a priority to ensure that the U of A is accessible and that the wellness of our community is enhanced, recognizing that all students, and particularly under-represented cohorts, are served by improved supports, communication, facilities, and infrastructure. The university directly supports accessibility through a robust system of financial supports, administering approximately \$90 million in scholarship and bursary funding.

THE U OF A'S FIVE CAMPUSES

U of A is a vibrant community of over 37,000 students and 15,000 faculty and staff.

- North Campus, in the heart of Edmonton, is the hub of the U of A's academic, research, and administrative functions.
- South Campus boasts some of the best agricultural research and teaching facilities in North America, as well as the Medical Isotope and Cyclotron Facility and two world-class athletic facilities, Foote Field and the Saville Community Sports Centre.
- Enterprise Square is a vibrant hub in downtown Edmonton that fosters research, learning, and partnership, and hosts the Faculty of Extension, TEC Edmonton, and public gallery space.
- Augustana Campus, located in Camrose, Alberta, offers a liberal arts experience in a rural setting on the historic campus of the former Camrose Lutheran College.
- Campus Saint-Jean is unique in western Canada: an interdisciplinary, French-language campus offering a range of programs in science, arts, social sciences, education, and language. CSJ is a diverse campus, home to staff from 31 countries and students from 23 countries.

The U of A also operates the University of Alberta Botanic Garden, a stunning 240-acre property located 15 minutes southwest of Edmonton. The garden is an award-winning visitor attraction, a research site, and home to year-round adult and children's education programming.

INDIGENOUS ENROLMENT

The University of Alberta endeavours to enrol Indigenous students at rates that are at least proportionate to the representation of Indigenous peoples in the Alberta population (6.2 percent according to the 2011 National Household Survey). In addition to the recruitment of qualified Indigenous students, achieving this goal requires a multi-faceted approach that includes stewardship of community relationships, thoughtful and coordinated response to the recommendations of the Truth and Reconciliation Commission of Canada, increasing the visibility of Indigenous ceremony and symbols on our campuses to signal a welcoming environment, and removing systemic barriers to self-identification, participation, and student success.

Work is underway in all of the above areas, and significant progress has been made in increasing Indigenous enrolment. A total of 1,012 self-identified Indigenous undergraduate students are enrolled in 2016-17 – the largest number in the institution’s history. This number increased by 9.6 percent over the previous year. This increase can be attributed to both new Indigenous student registrations and larger numbers of students who are comfortable self-identifying as First Nations, Metis, or Inuit. Indigenous undergraduate applicants, admitted students, and incoming registrants also increased significantly over the previous year, at 16, 17, and 23 percent, respectively.

Included among our 1,012 Indigenous undergraduates are 80 new Indigenous learners making up the largest cohort in 14 years for our Transition Year Program -- an access program for Indigenous applicants who may not be prepared to enter a degree program through the regular admissions route.

A new Aboriginal Student Support Fund (initial funding \$50,000) supports persistence and student success by providing short-term emergency funding for those in urgent need.

NATIONAL RECRUITMENT STRATEGY

A new National Recruitment Strategy, launched in the fall of 2016, renews our commitment to the active recruitment of Albertan students and also expands recruitment activities across the country. Encouraging a broad range of Albertan students to continue to study in their home province while also attracting top students from across Canada supports the creation of a diverse and inclusive community of exceptional students.

Target prospective student groups under the National Recruitment Strategy include Alberta high school students, high-achieving high school students from other provinces, post-secondary transfer students from the Campus Alberta system, as well as Indigenous, rural, and francophone students. A series of fall 2016 University of Alberta events designed to engage prospective students, parents, and counsellors attracted over 28,000 Albertans and more than 9,000 people from other provinces.

Increased automation of the undergraduate admissions process for 2016-17 means that applicants currently attending a Canadian high school are eligible to receive an offer of admission in as little as two to five days following receipt of necessary documents.

PROGRAMMING INNOVATIONS IN 2016-17

- A refreshed Bachelor of Arts curriculum was approved through governance and will launch in 2018. The revised BA simplifies the common requirements, and emphasizes experiential learning and learning pathways.
- With the approval of the new Doctor of Pharmacy (PharmD) program, which will replace the Bachelor of Science in Pharmacy (BScPharm) in fall of 2018, the U of A will become the only university on the prairies to offer a post-baccalaureate PharmD, making the U of A a major destination of choice for pharmacy education in Canada.
- The U of A's new Master of Accounting degree received the highest level of accreditation from the Chartered Professional Accountants of Alberta. With this new status, the U of A is the only post-secondary institution in Western Canada to offer a master's program allowing students to write their Certified Fraud Examiner professional examination upon completion of the program.

ACCESS AND ENROLMENT TRENDS

Undergraduate enrolment is showing signs of overall health across a variety of dimensions, including application, admission, and registration rates, diversity, retention and completion. The University of Alberta attracts a strong undergraduate applicant pool, both in terms of size and competitive admissibility, with students from over 140 countries.

Seats are limited, and admission is competitive. While some of our high demand programs must turn away strong applicants due to lack of space, many of our programs remain accessible to a broader range of applicants, either as direct-entry or post-secondary transfer students.

A complete enrolment report is included in a separate section of the Annual Report – see page 117.

PERFORMANCE MEASURE (PM) 1: COMPOSITION OF THE STUDENT BODY

PROPORTION OF ALBERTA STUDENTS FROM OUTSIDE OF EDMONTON	2014-15	2015-16	2016-17	TARGET 2016-17
<i>Undergraduate</i>	31.8%	31.5%	31.3%	31.0%
<i>Graduate</i>	34.5%	34.0%	35.5%	N/A
Grand Total	32.2%	31.8%	31.9%	

Source: Acorn Data Warehouse, Student Headcount and FLE, as of April 3, 2017.

Notes: Proportion based on students registered on December 1, of the reported year. Students from Alberta, outside of Edmonton have an original hometown census province of Alberta and an original hometown census division that is not Edmonton. Career preparation students are included in the undergraduate figures. Excludes: post-graduate medical residents; students with missing values; students who are only auditing courses; and, withdrawn students. Target is undergoing validation in 2017-18.

PROPORTION OF STUDENTS FROM OUTSIDE ALBERTA	2014-15	2015-16	2016-17
<i>Undergraduate</i>	27.1%	27.1%	26.7%
<i>Graduate</i>	61.4%	61.6%	60.2%
Grand Total	34.0%	33.9%	33.4%

Source: Acorn Data Warehouse, Student Headcount and FLE, as of April 3, 2017

Notes: Proportion based on students registered on December 1 of the reported year. No target set in 2016 CIP. Percent out of province includes students with an original hometown province that is not Alberta. Career preparation students are included in the undergraduate figures. Excludes: post-graduate medical residents; students with missing values; students who are only auditing courses; and, withdrawn students.

PROPORTION OF STUDENTS WHO HAVE SELF-IDENTIFIED AS ABORIGINAL	2014-15	2015-16	2016-17	TARGET 2016-17
Grand Total	3.6%	3.7%	4.0%	6.0%

Source: Acorn Data Warehouse, Student Headcount and FLE, as of April 3, 2017.

Notes: Reflects students registered on December 1. Includes undergraduate students with an original hometown province of Alberta who have self-identified as being of Aboriginal ancestry. Excludes: post-graduate medical residents; students who are only auditing courses; and, withdrawn students. Target is adjusted in the 2017 Comprehensive Institutional Plan.

PM2: STUDENT COMPLETION RATES

REPORT YEAR	UNDERGRADUATE	MASTER'S	PHD
2015-16	76.1%	85.8%	78.5%
2014-15	75.6%	88.7%	74.8%
2013-14	76.4%	89.8%	73.4%

Source: Acorn Data Warehouse, Completion Rates.

Notes: Excludes withdrawn and part-time students. Completion rates reflect the percentage of full-time students completing a degree-granting program within a designated number of years from the time of their first registration. Undergraduate rates are measured after six years, Masters after five years, and PhD students after nine years. Excludes probationary and qualifying graduate students.

BUILDING DIVERSE AND INCLUSIVE FACULTY AND STAFF

Create a faculty renewal program that builds on the strengths of existing faculty and ensures the sustainable development of the University of Alberta's talented, highly qualified, and diverse academy

– *For the Public Good*

Supporting ongoing recruitment and retention of a highly skilled, diverse community of non-academic and administrative staff

– *For the Public Good*

The U of A is committed to an equitable, diverse, and inclusive workforce. The university works to ensure equity in hiring through dedicated supports to hiring committees, to celebrate inclusiveness with its annual Equity, Diversity and Inclusion Week, and to address concerns through robust safe disclosure practices and a clear policy framework, updated in 2017. In 2016-17, targeted hiring of Indigenous faculty positions also helped to make the university a more representative employer.

PM3: PROPORTION OF THE PROFESSORIATE AT THE RANK OF ASSISTANT PROFESSOR

	2014-15	2015-16	2016-17	TARGET 2025
Assistant Professor	17.0%	17.2%	17.8%	21.0%

Source: Acorn Data Warehouse, HR Staff Headcount and FTE as of January 17, 2017.

Notes: Data are as of October 1 of the reported year. Proportion is based on professors in teaching faculties.

PM4: FACULTY COMPOSITION

RANK	YEAR	TOTAL	ABORIGINAL PEOPLE		PERSONS WITH DISABILITIES		MEMBERS OF VISIBLE MINORITIES	
			#	%	#	%	#	%
Full Professor	2016-17	874	4	0.5	8	0.9	127	14.5
Associate	2016-17	503	8	1.6	7	1.4	83	16.5
Assistant ¹	2016-17	284	9	3.2	9	3.2	70	24.6
Total		1661	21	1.3	24	1.4	280	16.9%
Target	2025		26		TBD			20.0%

Source: U of A Equity Survey, Data are as of December 31, 2016 and are considered preliminary.

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

PM5: PROPORTION OF FACULTY AND STAFF WHO ARE FEMALE

	2014-15	2015-16	2016-17	TARGET 2025
Proportion of faculty who are female	34.7%	35.7%	36.1%	43.0%

Source: : Acorn Data Warehouse, HR - Staff Headcount and FTE, January 25, 2017.

Notes: Data are as of October 1. Includes professors in teaching faculties and Contingent Faculty

	2014-15	2015-16	2016-17	TARGET 2025
Proportion of staff who are female	64.0%	63.6%	63.4%	TBD

Source: Acorn Data Warehouse, HR - Staff Headcount and FTE, January 26, 2017

Notes: Includes APOs, CAST, FSOs, librarians, research academic staff and support staff (not casual).

SUPPORTING INDIGENOUS STUDENTS AND COMMUNITIES

Develop ... a thoughtful, respectful, meaningful, and sustainable response to the Final Report of the Truth and Reconciliation Commission of Canada

– For the Public Good

In order to support the thoughtful, respectful, meaningful and sustainable response to the Final Report of the Truth and Reconciliation Commission of Canada, the university has established an Indigenous Advisory Office. The university's approach is guided by two pillars:

1. **Building substantive relationships** within the University of Alberta and with Indigenous communities and institutions in Treaty 6 Territory and beyond. As reconciliation inherently requires strong relationships, efforts in 2016-17 have largely focused on getting to know the Indigenous communities on and off campus to inform and guide our work towards reconciliation. Over the past year, the university engaged community members to jointly develop an institutional territorial acknowledgement statement.
2. **Building internal and external capacity** to undertake the work of truth-telling and reconciliation. This means hiring more Indigenous scholars, better supporting Indigenous students, and creating pathways for Indigenous students, faculty and staff to be increasingly involved in all areas of our academic and research mission. In 2016-17, the university launched an [online portal](#) of links to Alberta initiatives and activities related to Indigenous communities.

The U of A's commitment to Indigenous communities is embodied across faculties and the research community. Other highlights:

- The Faculty of Arts opened an Aboriginal Gathering Space in the Humanities Centre. The new space hosts programming for Indigenous students, including elder visits, workshops and social events.
- Faculty of Extension's Dr. Fay Fletcher has started working on a pilot mentorship program aimed at increasing the number of Indigenous knowledge keepers teaching Indigenous knowledge at post-secondary institutions. In this project, Indigenous Elders and knowledge keepers in Treaty 6 will mentor other Indigenous educators so that they are prepared to teach Indigenous Knowledge Systems (IKS) curriculum in identified topic areas.
- On the off-site delivery front, the English Language School's first collaboration with the Nunavut government provided English language training to civil servants in Iqaluit. In January 2017, a group of civil servants attended two training modules with funding provided by the Nunavut government.

- The Inspiring Possibilities initiative was inaugurated in 2016 to imagine and promote pathways for Indigenous students to enter graduate school. This year, three Inspiring Possibilities events have been held, bringing together U of A departments and faculties with Indigenous students interested in attending graduate school.
- A series of Indigenous Community Engagement Research and Learning projects were launched at a community learning event in October 2016. Six research groups, including elders and community members, presented their ideas. The first products – videos and workshops on respectful engagement with communities – have been produced and are being shared with members of the university community.

A DIVERSE AND INCLUSIVE UNIVERSITY: OTHER HIGHLIGHTS

- The university made a host of services available to those affected by the U.S. ban on travel from specified countries, including travel support, counseling, and the waiver of some application fees for affected students.

“Today, as president of the University of Alberta—but also as a citizen of Alberta and Canada—I want to voice our university’s firm commitment to diversity, inclusion, and equity in the face of rising isolationism and division. These values guide our actions every day in a myriad of small ways, but sometimes, we are called to stand up for them in visible and vocal ways.”

– President David Turpin, Jan. 29, 2017

- This year, the President’s Award for Refugees and Displaced Persons Fund was made available to cover the cost of tuition and living expenses for up to 10 undergraduate or graduate Syrian students, admitted to the U of A as early as January 2016.
- Dean of Law Paul Patton received the “Leaders in Diversity Award” from the Federation of Asian Canadian Lawyers - Western Chapter, recognizing individuals who have demonstrated a commitment to fostering and promoting diversity in the legal profession. Dean Paton has worked to transform the culture of Law, endeavoring to ensure that all students, staff and faculty are valued for their perspectives and experience, inside and outside the Faculty.
- The Faculty of Education’s Jason Harley is developing a mobile augmented reality (AR) app to reinforce and extend the message “It gets better” to demonstrate the progress made by sexual and gender minorities in Edmonton. This AR app will provide a real-world environment view, in conjunction with Smart Boards and Google Earth, to allow students to visit points of interest without having to leave their classroom.

EXPERIENCE

GOAL

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

Pushing beyond the conventional, students—no matter their background, age, or stage of education—**experience** learning as an integral part of all their activities at the University of Alberta, where they have access to and participation in a broad range of curricular experiential learning opportunities that are well integrated with program goals and enrich their academic experience. The university endeavours to pay attention to the development of the whole person and to **excel** in providing learning environments that transform us, nurture our talents, expand our knowledge and skills, and enable our success. We aim to **build** innovative curricular and co-curricular experiential learning programs that **engage** students, faculty, and staff with issues, questions, and ideas relevant to community organizations, industry, and governments today, and which enable their self-discovery and give them the skills to use their talents, creativity, and curiosity to contribute as future citizens and leaders. We seek and **sustain** student success. We mobilize the expertise of our faculty and expand access to educational experiences for continuing, professional, and lifelong learners.

– For the Public Good

Key priorities for 2016-17 included enhancing experiential learning opportunities for both undergraduate and graduate students, enriching their learning while ensuring that they are fully equipped to contribute to Alberta's economy and society. These initiatives support the quality of undergraduate and graduate education as well as coordination with a valued set of community partners.

GOALS AND PRIORITY INITIATIVES

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
G5 Enhance teaching and the focus on learning outcomes	Post-secondary teaching is undergoing a radical change that will benefit learners. Supports will be put in place to ensure that the U of A remains a leader in this field.	2020	Quality	Experience 7, 8 Excel 14
G6 Student housing	Accommodation of 18 percent of full-time students in purpose-built housing featuring supportive programs. (A Strategy for Student Housing, 2015–40, Phase 1).	2018	Accessibility	Experience 8
P1 Expanding residences	Implement the North Campus portion of Phase 1 of The Strategy for Student Housing, 2015–40, including 300 new bed spaces for upper-year undergraduates in East Campus Village and 520 new bed spaces for first-year students in a tower on the Lister Hall site.	2018	Accessibility	Experience 8.i
P2 Improve mentorship and skills development for graduate students	Eighty percent of graduate students will work outside of the academy after completing their degree and need help to transition as highly qualified personnel serving government, industry, and cultural sectors of society.	2018	Quality	Experience 8.iii
P3 Improve access for distance and non-traditional learners	Offer classes through distance learning and explore flexible and creative scheduling to accommodate diverse learners.	2020	Accessibility, Affordability	Experience 10.i, 10.ii

EXPERIENTIAL LEARNING IN 2016-17

Increase graduate and undergraduate students' access to and participation in a broad range of curricular experiential learning opportunities

– For the Public Good

The U of A is deeply committed to fostering experiential learning as a core feature of postsecondary education. Through co-ops, community service-learning, volunteerism, internships, research experiences, and more, U of A students develop skills and contribute to communities across Alberta, Canada, and the world.

Community Service-Learning (CSL) had 1178 students doing projects across 49 courses and in partnership with 154 community-based organizations in the Edmonton region.

EXPERIENTIAL LEARNING AROUND THE UNIVERSITY: HIGHLIGHTS

- Located on the Faculty of Arts main page, +EXP is an online portal developed and designed to detail the comprehensive experiential learning opportunities available to all students.
- Through the Arts Work Experience (AWE) program, more than half of Arts undergraduate programs received official co-op accreditation through the Canadian Association for Co-operative Education.
- The unique Leadership Certificate Program in the Alberta School of Business offers BComm students a chance to experience mentorship by extraordinary leaders from all walks of life, building networks that will serve our students throughout their careers.
- Engage North, a University of Alberta organization spearheaded by professors in Engineering, sends interns into northern communities to work on community-driven projects. Seven internships were available this year.
- The Nursing Simulation Centre is 1,307 square metres of state-of-the-art space where Faculty of Nursing undergraduate and graduate students engage in immersive learning using a variety of simulated teaching-learning strategies. This realistic environment of the Nursing Simulation Centre supports applied learning in a safe environment and provides learning experiences that are high-risk or may be difficult to obtain in the clinical setting (e.g. cardiac arrest or birthing of a baby).
- The new Doctor of Pharmacy (PharmD) program, approved this year, will see experiential education in the Faculty of Pharmacy and Pharmaceutical Sciences expanded to a total of 40 weeks, opening up new opportunities for experiential rotations.
- Students from the Faculties of Science and Engineering developed the first ever made-in-Alberta satellite, launched from Cape Canaveral on April 18, 2017. Ex-Alta 1, built by the U of A's AlbertaSat team with guidance from professors, is examining space weather to better understand the powerful forces that pose a threat to spacecraft and other satellites as well as vital power and electronic networks on Earth.

- The Faculty of Science Internship Program (SIP) placed over 85 students completing their third year into an eight to 16 month position in industry. The program's goal is to reach 250 placements per year.
- The Aboriginal Justice Externship on Gladue Sentencing Principles was launched as an innovative new experiential learning opportunity in the Faculty of Law. The workshop focuses on the relationship between Canadian colonial laws and policies, overrepresentation of Aboriginal peoples in the justice system and challenges faced before and after incarceration, including through manifestations of intergenerational trauma and criminal activity.

PM6: EXPERIENTIAL LEARNING, SENIOR STUDENTS

PARTICIPATION IN HIGH-IMPACT PRACTICES (HIP)	2014
Proportion of students participating in one or more high-impact practices	84%
U15 average	79%

Source: National Survey of Student Engagement (NSSE)

Notes: Figures include participation in a learning community, service-learning, research with faculty, participation in an internship or field experience, study abroad, and culminating senior experience. This is a new performance measure; no target established in 2016 CIP. NSSE is conducted every three years. The next administration (2017) will be used as a baseline for establishing future targets.

PARTICIPATION IN CO-OP PROGRAMS	2014-15	2015-16	2016-17
Percent of students participating in a co-op program	7.9%	8.4%	8.4%

Source: Acorn Data Warehouse, Student Headcount and FLE, as of April 3, 2017.

Notes: Participation rates reflect undergraduate students registered on December 1 of the reporting year. Excludes: post-graduate medical education residents; students who are only auditing courses; and, withdrawn students. No target set in 2016 CIP.

ENRICHING THE GRADUATE STUDENT EXPERIENCE

- With the support of a Government of Alberta grant – A Vision for Innovation in Alberta: Excellence and Transformative Talent – the University of Alberta’s Graduate Student Internship Program (GSIP) provides employers up to \$8,000 in matching funding to hire graduate students on flexible work terms. It provides an opportunity for students enrolled in Master’s and PhD programs from across campus to grow their confidence by honing their professional skills in a genuine work setting. GSIP gives employers a unique opportunity to participate in and benefit from some of Alberta’s best and brightest talent. Since the program launched in January 2016, 146 internship positions have been generated, and several of the interns who have completed their assignments – and their degrees – have landed permanent positions with these employers.
- In collaboration with the Universities of Calgary, Lethbridge and Athabasca, the Faculty of Graduate Studies and Research hosted a career symposium for Alberta graduate students in November 2016 with support from the Government of Alberta grant - A Vision for Innovation in Alberta: Excellence and Transformative Talent.
- Nine MBA students travelled to Ethiopia in January 2017 as part of a service-learning course to develop a business plan for a regional cancer care center to be located in Addis Ababa, Ethiopia.
- To develop global competency, more than 2,200 business students have travelled to 38 countries to participate in exchanges and learning opportunities over the past 17 years.

PM7: GRADUATE EMPLOYMENT, TWO YEARS POST-GRADUATION

	2010	2014	2016
Graduate employment rate	97.0%	96.7%	93.9%

Source: Alberta Graduate Outcomes Survey (GOS).

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

PM8: STUDENT SATISFACTION, SENIOR STUDENTS

UNDERGRADUATE	2011	2014
How would you evaluate your entire educational experience at this institution? (Percent responding Good or Excellent)	78.5%	79.2%

Source: National Survey of Student Engagement (NSSE)

GRADUATE	2010	2013	2016
Overall, how would you rate the quality of your overall experience at this university? (Percent responding Good, Very Good or Excellent)	88.0%	87.3%	87.2%

Source: Canadian Graduate and Professional Student Survey (CGPSS)

DISTANCE AND NON-TRADITIONAL LEARNERS

Expand access to and engagement in the University of Alberta for learners engaging in continuing and professional education programs, experiences, and lifelong learning activities

– *For the Public Good*

Each year, the Faculty of Extension serves approximately 10,000 students across all programs. Executive Education programs in the School of Business register 5,000 students per year. As non-credit students, these are not included in the official enrolment statistics presented elsewhere in this report.

DIGITAL LEARNING AND MASSIVE OPEN ONLINE COURSES (MOOCs):

The University of Alberta remains a leader in developing rigorous, engaging MOOCs, and has two of the top ten ranked MOOCs on Coursera. MOOCs and other online offerings make U of A content available to the general public as well as for credit to university students, and potentially to students in other institutions.

- Mountains 101, a MOOC jointly offered by Science and Physical Education and Recreation, in partnership with Parks Canada, was launched successfully in November 2016.
- Indigenous Canada, another new MOOC for 2016-17, explores Indigenous histories and contemporary issues in Canada. The MOOC had nearly 4000 registrants.
- The popular online course, Understanding Video Games, under the direction of Sean Gouglas (History & Classics, Interdisciplinary Studies), was adapted for high school students. This project was a collaboration with the Edmonton and Calgary Public Libraries.

EXCEL

GOAL

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

The University of Alberta aims to **sustain** a learning and research culture that inspires, supports and champions high professional standards and outstanding achievements in basic and applied research and scholarship, creative activity, administration, and governance. In 2016-17, we initiated a process to build a portfolio of signature research and teaching areas where the University of Alberta is or will be recognized as a global leader.

We also ensure that learning **experiences** at our university are of the highest quality, based on a practice of continuous improvement and innovation in teaching. From our broad-based strength as a comprehensive, research-intensive public university, we seek to highlight current and emerging areas of global distinction and leadership by **building** a portfolio of signature areas that distinguish us from our peer institutions and exemplify the University of Alberta's capacity to **engage** in big questions and global challenges. We advance the University of Alberta's reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society.

– For the Public Good

The U of A's commitment to excellence drives quality across our comprehensive portfolio of research and teaching activities. In 2016-17, the university continued to support its broad base of research and teaching excellence, while strategically positioning itself to access funding for targeted areas of world-class excellence.

For the university, quality and coordination are closely linked: we strive for excellence through partnerships across disciplines, with Campus Alberta partners, with Alberta institutions like Alberta Health Services and the City of Edmonton, and with leading international post-secondaries.

GOALS AND PRIORITY INITIATIVES

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
G7 Enhance our research-intensive environment for all levels of study	Ensure a dynamic and strong research community in which the full complement of outstanding faculty, post-doctoral fellows, graduate and undergraduate students required for enhanced knowledge creation and transmission, fully participate in the research mission of the institution.	2020	Accessibility, Quality	Excel 11,13
G8 Research to address global challenges	Pursue excellent, relevant, and high-impact research and encourage interdisciplinary research teams and partnerships with the intent to address complex problems at the local and global scale.	2020	Quality	Excel 11,12
P1 Increase respect for the reciprocity of research contracts between U of A researchers and their partners from all sectors	U of A researchers will work with community, industry, and academic partners to ensure that the promise of research is fulfilled and conscientiously translated into solutions. In an environment of shifting funding expectations, increased attention to sharing of relevant results and outcomes with all partners, research sensitivity, and knowledge mobilization are key to continuing positive interactions with all partners.	2018	Quality, Coordination	Excel 11.iv, 13.ii
P2 Support areas of emerging and identified strength	Work with the university community and stakeholders to identify areas of collective strength and selectively support them.	2020	Quality, Coordination	Excel 12.1
P3 Expand collaborative and multidisciplinary research capacity	Build capacity for meaningful research collaborations with industry, community, and post-secondary sector partners, both locally and internationally, to drive high-impact, relevant research.	2020	Quality, Coordination	Excel 13.ii
P4 Leverage provincial funding to attract greater external investment from the public and private sectors	Sponsored research is essential to the mission of the U of A, supporting research that addresses key social, cultural, and economic issues on a local and global scale. Provincial research dollars should be matched by other sources (federal and industrial) to maximize value for Albertans.	Ongoing	Quality	Excel 13.v

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
P5 Expand the complement of post-doctoral fellows by identifying avenues to fund costs of the existing and expanded cohort	This talent pool is critical to Alberta's research capacity and impact, and essential to our role as a global partner of choice for international research consortia and training programs with top-tier collaborators. Post-doctoral fellows drive innovation and research in and out of university settings, including industrial, community, and social settings, and are an important source of future faculty members in many disciplines, as well as serving as highly qualified personnel in government, industry/business, and cultural sectors of society. They are key to shifting Alberta to a learning-based society that welcomes intellectual and economic diversity. The funding sources for post-doctoral fellows need to be better understood before a clear target can be established.	Dependent on funding	Quality	Excel 13.vi
P6 Support training in new teaching methods and curriculum design	Increase instructor access to training and mentorship, particularly in use of emerging technologies in teaching such as flipped classrooms, blended learning, and other digital access	2020	Accessibility, Quality	Excel 14

RESEARCH, APPLIED RESEARCH AND SCHOLARLY ACTIVITIES

Advance the University of Alberta's reputation for research excellence by pursuing fundamental and original questions and ideas, pushing the frontiers of knowledge, inspiring creative experimentation, driving innovation, and advancing society

– For the Public Good

Enable University of Alberta researchers to succeed and excel

– For the Public Good

As a comprehensive research-intensive university, the University of Alberta holds a primary responsibility for research and innovation in programming, and in training future researchers and innovators across disciplines and all levels of study. The U of A continues to build and support collaborative research capacity to produce leading-edge research on critical issues that confront humanity, while advancing the foundational research that will enable transformative innovation. Bringing together areas of identified research strength that contribute to interdisciplinary, multidisciplinary, and cross-disciplinary projects and approaches, collaborative research tackles the many urgent social, technological, and economic problems that society faces now and in future.

Over the last decade, U of A researchers have attracted total sponsored research funding in excess of \$4.6 billion, putting the U of A fourth among Canada's research-intensive universities. On an annual basis, sponsored research funding has averaged more than \$400 million per year, with a peak value of \$536 million in 2010–11. TEC Edmonton ensures that U of A research solutions have the greatest impact on society and the economy through commercialization. Working closely with U of A researchers, TEC Edmonton has created 27 new spin-off companies, 901 patent applications, 91 license agreements and over \$5.2 million in licensing revenues since 2010.

Past provincial investment has ensured that the University of Alberta has been able to build prominent international collaborations, make significant contributions to areas of fundamental importance to Albertans (including energy and the environment, health, and economic diversification), and to recruit and train the innovative leaders of tomorrow. The U of A will continue to leverage provincial funding to attract greater external investment from the public and private sector, including participation in prominent federal funding programs such as the Canada First Research Excellence Fund (CFREF), which this year funded the Future Energy Systems initiative for \$75 million, and foster long-term cycles of significant re-investment in Alberta.

RESEARCH OUTCOMES

The university's broad portfolio of foundational and applied research supports Alberta's research outcomes: a strong economy, effective resource management, environmental stewardship, and a focus on supporting the health of Albertans in all our communities.

A strong economy: highlights

- Construction on a \$25-million dollar production plant will begin in fall 2017 to pave the way for the commercialization of next generation renewable diesel fuel made from waste fat – a process that was developed at the University of Alberta 12 years ago by bioresource scientist David Bressler, director of the Biorefining Conversions Network in the Faculty of Agricultural, Life and Environmental Sciences. Once built, the Ontario plant will produce renewable liquid hydrocarbons at a capacity of 19 million litres annually—providing a vital source of green fuels.
- Researchers Jonathan Curtis, Thava Vasanthan, David Bressler, and Allan Schaefer were recognized at Innovation Makes Sense, an annual TEC Edmonton event to honour U of A researchers who in the past year successfully received patents or were instrumental in spin-off companies from their research. These achievements played a significant role in helping the U of A achieve its ranking this past year among the top 100 universities in the world for U.S. patents this past year.

ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING AT THE U OF A

The U of A is among the world leaders in artificial intelligence and machine learning technologies, and is one of three centres – along with Toronto-Waterloo and Montreal – for the federal government's \$125-million Pan-Canadian Artificial Intelligence Strategy, announced in Budget 2017.

By 2025, artificial intelligence and machine-learning technologies — and the products and businesses they will spark — are predicted to generate at least \$50 trillion in global economic growth. Today, the U of A ranks second in the world for artificial intelligence, machine learning, and data mining, and its Alberta Machine Intelligence Institute, or Amii (formerly Alberta Innovates Centre for Machine Learning) is Canada's leading centre in the field of machine intelligence. AI and machine learning research at the U of A have wide-reaching applications – including prosthetics that improve the quality of life for amputees, and predictive medicine that could help doctors prevent cancer, Alzheimer's and diabetes before they start. With these applications and many others, including self-driving cars, artificial intelligence is transforming many facets of society.

A key component of the Pan-Canadian Artificial Intelligence Strategy is to foster the commercialization of AI-driven start-ups and work closely with industry to improve their operations. Some of the recent industry collaborations at the University of Alberta include research partnerships with large companies like RBC, and project-based ones, such as optimizing water treatment control systems with Edmonton-based ISL Engineering.

Effective resource management: highlights

The University of Alberta this year launched Future Energy Systems (FES), a major initiative aimed at reducing the environmental footprint of fossil fuels and developing new low-carbon energy systems, thanks to a \$75-million federal grant under the Canada First Research Excellence Fund. Directed by Larry Kostiuk, Future Energy Systems brings together researchers across disciplines to improve energy systems related to unconventional hydrocarbon resources—tailings ponds, greenhouse emissions, water use, land reclamation, and safe, efficient energy transportation. The initiative, which will fund collaborative projects across the university and beyond, builds on U of A strengths in advanced materials, smart electrical grids and bioprocessing to help move Canada to a low-carbon energy economy. FES positions the U of A as a major national and international leader in this area.

Environmental stewardship: highlights

- The province's fields of waving prairie grasses, stretching from the parkland surrounding Edmonton all the way to the Montana border and into Saskatchewan and Manitoba, play a valuable role in storing carbon. These ecosystems are also among Canada's most endangered. U of A researchers are working through organizations like the university's Rangeland Research Institute and using key resources such as the Roy Berg Kinsella Research Ranch and Mattheis Research Ranch to raise awareness and inform policy-makers and ranchers alike of the need to increase conservation efforts for Alberta's remaining grasslands. Two more research ranches in southern Alberta were recently added to the university's roster, adding further scientific capacity. Work being funded by beef producers is also underway at the U of A to help balance cattle grazing with sustainable use of ecologically sensitive pastureland.
- The U of A received a \$2.6 million grant from the Natural Sciences and Research Council (NSERC) to fund projects including one that will look at the risks lodgepole pine and white spruce face due to the warming of their environment caused by climate change. It will determine how far north and how much higher in elevation the forestry industry can move those tree populations to help them thrive – important for ensuring that future reforestation efforts respond to climate change.
- Scott Nielsen, a conservation scientist in the Department of Renewable Resources, has teamed up with colleagues from across western Canada to create the Grizzly-PAW project: Grizzly Population Assessment in Yellowhead. The Yellowhead ecosystem is the area around Hinton, Alberta, in the foothills east of Jasper National Park. The plan is to develop new tools to manage the endangered population in a way that helps speed recovery, and this requires partnerships with government and industry. The Natural Sciences and Engineering Research Council (NSERC) recently provided \$1.4 million in funding to the group.

Supporting the health of Albertans in all our communities: highlights

- The Alberta SPOR Support Units (AbSPORU) have invested \$48 million in support platforms to facilitate patient-oriented clinical health research in Alberta; platforms led by University of Alberta faculty including data, research services, knowledge translation, pragmatic trials, and career services are transforming access to health data and creating training opportunities. Most importantly, patients now have an active voice in research.
- The Strategic Clinical Networks (SCNs), Alberta Health Services, which represent integrated teams across 16 focused areas of health care, form a vehicle of innovation on a population scale. Collaborations between our faculty and the SCNs have facilitated the translation of innovative health research into practice.
- Following the Fort McMurray fires in 2016, researchers in the Faculty of Medicine and Dentistry (FoMD) began looking at its effects on the health and well-being of those that were evacuated. This has resulted in four new major grant-funded projects – funded by the provincial and federal governments and the Red Cross – that will be looking at the health effects on the firefighters, environmental contaminants that will affect traditional food use of Indigenous communities, the impact on pregnant women and neonatal health, and how the forced evacuation has affected the mental health of children and adolescents.
- Multi-year data on farm safety collected by the School of Public Health's Injury Prevention Centre (IPC) made key contributions to the passage of Bill 6, the *Enhanced Protection for Farm and Ranch Workers Act*.

INTERNATIONAL INSTITUTIONAL PARTNERSHIPS

RESEARCH CONSORTIA AND PARTNERSHIPS FORMED WITH TOP-TIER INTERNATIONAL PARTNERS

PRIORITY INSTITUTIONAL INITIATIVES

China

- SCENEREI (Sino-Canada Energy and Environment Research and Education Initiative) is a partnership with Tsinghua University in Beijing, China to address the world's growing need for sustainable energy solutions. Stage 1 & Stage 2 of this collaboration, totaling 34 research projects with more than \$1.5 million in research investment, include: clean energy (hydrocarbon recovery, lignite upgrading, geoscience), energy policy (regulation, supply chains, socioeconomics), transportation (infrastructure), and the environment (water, monitoring, minimizing impact). This linkage is now being expanded to encompass other collaborations with Tsinghua University and its research innovation park TusPark.

Germany

- Helmholtz-Alberta Initiative – is a five-year extension of the Memorandum of Understanding in HAI between the Helmholtz Association and the U of A was signed in September 2014.
 - HAI-E&E (Energy and Environment) has over 50 U of A researchers and four Helmholtz institutes involved in exploring cleaner energy production and solutions to pressing environmental issues facing Alberta's oil sands and Germany's coal production. The work of Future Energy Systems (FES) will support the next phase of this activity.
 - Work is underway with three other Helmholtz centres to expand the partnership to include other areas of mutual interest and strength the health and life sciences such as infectious disease, neurodegenerative disease research and most recently in diabetes research.
- Fraunhofer-Alberta Research Partnership – is a multi-project collaboration between the Fraunhofer Institute for Process Engineering and Packaging and the Fraunhofer Institute for Environmental, Safety, and Energy Technology and the U of A.
 - Alberta partners have submitted the 'Biobattery – Decentralized Production of Fuel from Waste' project proposal to Alberta Innovates (Bio) for funding with support of the Alberta Ministry of Economic Development and Trade (EDT). This proposal received funding of \$1.5M.
 - FRAUNHOFER spin-off company SUSTEEN Canada Ltd. was incorporated in June 2016 and is working to commercialize the TCR[®] technology used in bio-battery.
- RWTH Aachen University-UAlberta Strategic Research Partnership, under development, is a collaboration between two universities with common emphasis on energy-related research.
- The International Graduate School for Hybrid Functional Materials, a partnership between the Technical University Munich (TUM) and University of Alberta, was awarded funding in 2016 through the NSERC CREATE program and the German Research Foundation (DFG).

Mexico

- SENER – is a collaboration with the Mexican Ministry of Energy focused on facilitating work on hydrocarbons. Proposals for specific projects under this collaboration are under adjudication.

India

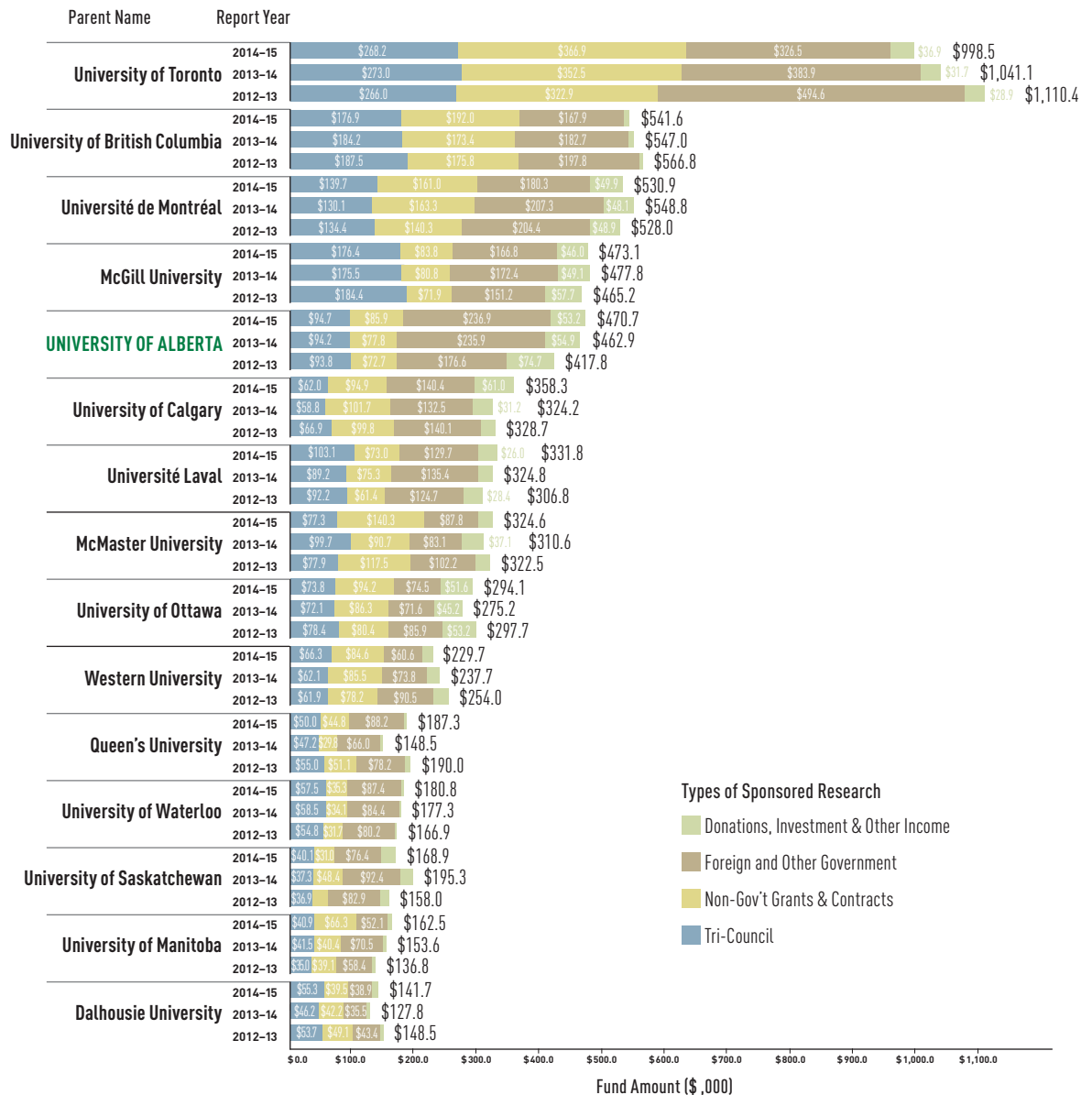
- IC-IMPACTS (India-Canada Centre for Innovative Multidisciplinary Partnerships to Accelerate Community Transformation and Sustainability), is now in its third year of operation. IC-IMPACTS continues to focus on change for local communities in both India and Canada. It currently has 158 researchers involved, is training 327 highly-qualified personnel (HQP), and has funded 29 research projects. IC-IMPACTS recently received renewed funding to 2021.

Other

- World Universities Network (WUN) – the U of A joined this network of 18 research-intensive institutions across Europe, North America, Africa, Asia, and Oceania in 2008. WUN creates opportunities for international collaboration and gives the U of A an international voice in terms of its research strengths and contributions. Activities by U of A researchers during the reporting year included collaborations with Chongqing Medical University in China, University of Leeds, University of Western Australia and the Chinese University of Hong Kong.

PM9: SPONSORED RESEARCH FUNDING RECEIVED

The University of Alberta remains in fifth place (as of 2014-15) amongst U15 peers for total sponsored research funding.



Sources: Canadian Association of University Business Officers (CAUBO): Financial Information of -- and Colleges, Report 3.1. Data are the most recent available.

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

OTHER HIGHLIGHTS OF RESEARCH IMPACT:

- In fall of 2016, Lorne Babiuk was awarded the World Agriculture Prize in recognition of a career that has seen him develop six vaccines, shepherd a world-class research facility, and train more than 100 graduate students. Babiuk, a world-renowned virologist who has won numerous international awards, is responsible for major advances in our understanding of the biology of infectious diseases and the role of vaccines in their control.
- Two members of the Faculty of Arts were named members of the Order of Canada: Liz Ingram, Distinguished University Professor Emerita, Department of Art and Design, appointed for her contributions to the visual arts community; and Patricia Demers, Distinguished University Professor, English and Film Studies, appointed for her contributions to the study of early works of English literature, and for her service to the academic community.
- Nursing professor Carole Estabrooks was appointed to the Order of Canada for her contributions to research in use of evidence in care of older adults.
- Tim Antoniuk (Art and Design) developed the “Tiny Condo” *Micro Habitation Lab*, a 230-square-foot condo, fully furnished and designed as a bachelor suite, with space-smart features like sliding walls and telescoping drawers.
- Michael Bowling and his team in the Faculty of Science designed the first AI program to beat the pros at No Limit Texas Hold ‘Em. DeepStack, created by the University of Alberta’s Computer Poker Research Group, uses “intuition” honed through deep learning to reassess its strategy with each decision. It’s an historic result in artificial intelligence that has implications far beyond the poker table, from helping make more robust medical treatment recommendations to developing better strategic defence planning.
- The Faculty of Business was ranked in the top five in impact factor by InCites Web of Science™ Journal Citation Reports (2016-17) in the areas of Management, Business, Operations Research & Management, and Business Finance. Business faculty members Royston Greenwood and Michael Lounsbury were named among Thomson Reuters’ Most Influential Scientific Minds in 2016.
- The Faculty of Native Studies is collaborating with the Métis Nation of Alberta and the Metis Settlements General Council on a research partnership to develop new governance models.
- Researcher and Immunologist Shokrollah Elahi in the Faculty of Medicine and Dentistry has discovered that vaccinations received during pregnancy benefits both the mother and their newborn as the proteins also regulates a new newborn’s immune system.

SIGNATURE AREAS OF EXCELLENCE IN RESEARCH AND TEACHING

Build a portfolio of signature research and teaching areas where the University of Alberta is or will be recognized as a global leader

– For the Public Good

The University of Alberta community has committed to the development of a portfolio of signature research and teaching areas where the university is or will be recognized as a global leader.

The university has chosen to develop and identify existing and emerging signature areas in order to more effectively address the interdisciplinary complexity of the global community's biggest questions and challenges. Doing so will maximize the institution's capacity to lead change by nurturing dynamic, innovative, creative multi- and inter-disciplinary teams that are able to take multi-faceted approaches to problems.

The development and identification of signature research and teaching areas will also help to further attract talented undergraduate and graduate students, post-doctoral fellows, research staff and new faculty who want to be part of these areas. In turn, this will make it easier for the U of A to partner with other leading institutions and teams across Canada and the world, while also placing the university in a stronger position to apply for and create major new funding opportunities.

Signature areas will not replace the broad base of fundamental and applied research, scholarship, and creative activities already ongoing at the university. Diversity and breadth in teaching and research will remain an essential feature of the University of Alberta — without them the development of signature research and teaching areas would not be possible.

Submissions from across the university are being reviewed by an expert panel, and the first signature areas are expected to be announced in summer 2017.

OTHER HIGHLIGHTS OF RESEARCH IMPACT:

- The SMART Network has focused its interdisciplinary expertise on developing intelligent medical devices and innovative rehabilitation interventions for improving the abilities and life experiences of people with neurological conditions and limb amputations. Deep-rooted collaborations among cell biology, computing science, engineering, neuroscience and rehabilitation form the foundation of the SMART Network and fuel its prowess in discovery and technical innovations.
- The Centre for Prions and Protein Folding Diseases is one of the world's leading research groups looking at prions and other protein folding diseases; the group received a \$26 million grant from Genome Canada and published a major discovery on prion structural biology, shedding key new light on Mad Cow Disease.
- Zika virus has recently emerged as a new global health threat. Building on its reputation as a world leader in virology research, the U of A is now recognized as a key contributor in the struggle to understand and control Zika virus. This is being facilitated via outstanding research facilities, significant new research funding and collaborations with countries where Zika virus is endemic. Other emerging viral pathogens like Chikungunya, RSV, and Noroviruses are also being actively studied with the goal of developing new diagnostics, drugs, and/or vaccines.
- Sample Jet, a new robot installed at the University of Alberta, enables researchers to discover disease mechanisms and design new therapeutic agents by screening the interactions of thousands of drug-like molecules with the greatest sensitivity, resolution and speed to accelerate structural biology research.
- In February, the U of A's radiation therapy program officially opened a unique, cutting-edge training facility for students designed to mimic their experience to be similar to practitioners in the health system to deliver real cancer treatment.
- Through funding received from the John R. Evans Leaders Fund of the Canada Foundation for Innovation, Dr. Craig Chapman and colleagues from the Faculty of Physical Education and Recreation are poised to build a world-class facility to measure sensorimotor behaviour with unprecedented scope and accuracy – this will translate directly to the diagnosis, treatment and rehabilitation of individuals with compromised function.

EXCELLENCE IN TEACHING AND LEARNING

Inspire, model, and support excellence in teaching and learning

– For the Public Good

Teaching is the heart of the University of Alberta. It is the reason students join our educational community; and it is the reason alumni remember us. The university enhances excellence in undergraduate teaching through the Centre for Teaching and Learning (CTL), which offers peer mentoring and professional development workshops (faculty-specific and university-wide), and works with departments to create blended delivery courses (part in-person, part online) and to evaluate curriculum. This year, the university launched a new microgrant to find and nurture innovative teachers on campus. CTL also supports the use of software applications that can promote student engagement with course material. While technology is not a panacea for all teaching challenges, it can sometimes offer more efficient and effective ways for students to interact with course material.

The annual Festival of Teaching and Learning celebrates teaching excellence at the U of A and allows for networking and sharing of ideas through presentations and workshops.

In 2016, the Faculty of Graduate Studies and Research launched an innovative, multi-tiered Graduate Teaching and Learning (GTL) program to engage graduate students, postdoctoral fellows, and scholars in the discussion, practice, and research of teaching and learning. Graduates are leveraging completion of the GTL program for employment in all sectors. In the first 3 levels, participants can move from attending sessions on classroom basics, to articulating their teaching skills, to designing a course. Level 1 participants alone filled more than 3800 seats, completing more than 5000 hours of training this year.

PM10. STUDENT PERCEPTIONS OF TEACHING, SENIOR STUDENTS

	NSSE 2014 MEAN SCORE NEVER = 0; SOMETIMES = 20; OFTEN = 40; VERY OFTEN = 60
Effective teaching practices (Students report receiving clear course goals and requirements; organized course sessions; use of examples/illustrations; providing feedback on work in progress; providing feedback on completed work)	36.6
U15 average	34.8

Source: NSSE 2014

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

OTHER HIGHLIGHTS:

- The U of A's MBA program was ranked within the top 30 International MBA programs by the 2016 Bloomberg Businessweek International MBA survey.
- The medical curriculum offered by the Faculty of Medicine and Dentistry was adapted across all four years of the program as of Sept. 2016 in response to the opioid crisis facing Alberta.
- The Doctor of Dental Surgery (DDS) and Dental Hygiene programs have undergone full curriculum renewal, with an enhanced focus on leadership development and social accountability.
- Oluakemi Amodu won the University of Alberta Three Minute Thesis (3MT) competition and the Western Canadian Regional Finals, and advanced to the Canadian 3MT finals for her thesis presentation that raised awareness about women's health.
- In the Faculty of Medicine & Dentistry, Tracey Hillier, assistant dean of curriculum and newly-appointed assistant dean of diversity Helly Goez, were recognized as part of the University's Equity, Diversity, and Inclusion Awards for their contributions to initiatives that bridge the gap across disciplines in the Edmonton health sciences community.

PM11: MAJOR RESEARCH AND TEACHING AWARDS**3M National Teaching Fellows, last ten years (2007-2016)**

RANK	UNIVERSITY	3M FELLOWS
1	University of Alberta	14
2	The University of British Columbia	9
3	University of Toronto	8
4	McMaster University	7
5	Western University	4
6	University of Calgary	3
7	University of Saskatchewan	2
8	Dalhousie University	1
8	McGill University	1
8	Queen's University	1
8	Université de Montréal	1
8	University of Ottawa	1
8	University of Waterloo	1
	Grand Total	53

Notes: Data are the most recent available.

Source: 3M award counts from Society of Teaching and Learning in Higher Education. Faculty counts from Statistics Canada: Salaries and Salary Scales of Full-time Teaching Staff at Canadian Universities, Final Reports and U15 Data Exchange.

Canada Research Chairs (CRCs)

RANK	UNIVERSITY	CRCs
1	University of Toronto	227
2	The University of British Columbia	153
3	McGill University	134
4	Université de Montréal	118
5	University of Alberta	84
6	Université Laval	73
7	McMaster University	68
8	University of Ottawa	60
9	University of Calgary	55
10	Western University	53
11	University of Waterloo	49
12	Queen's University	43
13	Dalhousie University	37
14	University of Manitoba	36
15	University of Saskatchewan	25

Notes: Includes active CRCs as of October 2, 2016. Université de Montréal includes HEC and Polytechnique

Source: Social Sciences and Humanities Research Council of Canada.

ENGAGE

GOAL

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

To serve the public well, the University of Alberta **excels** at listening, connecting, and collaborating with key partners across all sectors of society. We strive to be relevant as well as excellent and actively disseminate what we learn and discover for the benefit of the public good. We **engage** across disciplines, campuses, faculties, and units to create interdisciplinary learning **experiences** for our students that prepare them to face the complex nature of today's challenges and workplaces. We continue to **build** and deepen mutually beneficial and reciprocal partnerships with local, provincial, national, and international communities, agencies, industries, businesses, and organizations.

– For the Public Good

We know that our ability to contribute to society flows in large measure from our ability to connect with our community partnerships—locally, nationally, and internationally. Strategies for community engagement are embedded throughout the institution, across faculties and administrative functions. The university makes its world-class athletic and cultural infrastructure available for community use, and values public engagement among its scholars.

As the province's largest post-secondary institution, the U of A also embraces its leadership role within a differentiated Campus Alberta system. Examples of our collaborations with Campus Alberta partners include: hosting of the Olds College PeopleSoft financial system; provision of the Moodle Learning Management System to four institutions; support for the Norquest College capital expansion project through provision of project management, design and operational review, business case development, construction delivery advisement and procurement assistance; and, through TEC Edmonton, collaboration with NAIT to share infrastructure in supporting commercialization.

GOALS AND PRIORITY INITIATIVES

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
G9 Expand community engagement and consultation	Increase community interactions to build two-way relationships with stakeholders on and off campus including urban, rural, Indigenous, and minority communities and their leaders.	2020	Accountability	Engage 16
P1 Create partnerships and programs and presentations that include face-to-face interactions	Increase and promote partnerships for community service-learning, co-op, practica, internships and other placements of students in off-campus settings. Develop workshops and presentation formats that include real-time interactions with community members, using Enterprise Square, Campus Saint-Jean, North and South Campus, and Augustana Campus as meeting places.	2020	Quality, Coordination	Engage 16.i
P2 Increase engagement with communities and stakeholders on and off campus	To be relevant, the university must understand stakeholder needs and challenges. Forums that facilitate two-way exchanges of information and understandings need to be developed along with regularly planned opportunities for exchanges.	2020	Accountability	Engage 16.i
P3 Work consultatively with communities, broadly defined, to identify gaps as well as future needs, and build the human capacity to meet them	Develop partnerships that result in community-level capacity building, needs-driven professional programs, and reduced talent drain from communities.	2020	Coordination, Accountability	Engage 16.iii
P4 Shared community infrastructure projects	<p>The Galleria project will expand art, design, and music education, scholarship, performance, and research in the downtown core of Edmonton. <i>This project has been indefinitely deferred pending philanthropic and government support.</i></p> <p>The Twin Arenas project will provide needed space for academic, varsity, community and recreational sport activities.</p> <p>The Translational Lab—The proposed Diagnostic Centre—will co-house provincial, private, and university labs, supporting translation of medical research</p>	<p>Galleria: 2019</p> <p>Twin Arenas: 2018</p> <p>Translational Lab: 2019</p>	Coordination	Engage 16.v

BUILDING UNIVERSITY- COMMUNITY CONNECTIONS

Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections

– For the Public Good

Seek, build, strengthen, and sustain partnerships with local, national, or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations

– For the Public Good

PARTNERING WITH LIBRARIES

- In 2016, the university began a partnership with the Edmonton Public Library (EPL) and the Calgary Public Library to adapt the Understanding Video Games (UVG) MOOC to suit groups of young learners. A U of A lead scholar visited both groups to provide the opening lecture; over 240 learners participated in the modified courses. Discussions are underway to deliver similar programming around the newly launched Mountains 101 and Indigenous Canada MOOCs.
- Edmonton Public Library also delivers an ongoing speaker series at various branches for adult learners. In 2016, the EPL hosted the U of A eight times and the university engaged over 500 learners on various topics across academic disciplines. The partnership continues throughout 2017-18 with more branches coming onside to host U of A scholars and the importance of their research to the community.

BASECAMP: A DAY OF SERVICE

Annually, over 1000 first year students make residences at the University of Alberta their new homes. As an introduction to their new neighbourhoods and city, for a half-day called “BaseCamp: a Day of Service,” students volunteer across the city at non-profit centres, with charitable organizations, in the River Valley, and at community leagues. They offer hands, hearts and energy to clean, paint, landscape, move, assemble food hampers, and other manual tasks alongside their neighbours to improve the quality of the place they now call home. In 2016, approximately 800 students engaged in 21 different projects around the city, 11 different charitable organizations, four different city parks, and five different community leagues’ neighborhood projects.

COMMUNITY CONNECTIONS AWARDS

The U of A was proud to honour the winners of the 2016 awards in the following categories:

- Scholar: professors Catherine Chan and Rhonda Bell for the development of The Pure Prairie Eating Plan to support people living with chronic disease.
- Leader: the Sexual Orientation and Gender Identity Advocacy Committee for their support group for Faculty of Medicine and Dentistry students struggling with issues related to their sexual orientation or gender, and their work creating and delivering an annual conference to bring speakers and experts to help health care practitioners and community understand issues experienced by the LGBTQ community.
- Advocate: Calder Bateman for their in kind work performed to advance public education on the impacts of prejudice, discrimination and hate, particularly towards the LGBTQ community.

OTHER HIGHLIGHTS:

- The Kaye Edmonton Dental Clinic, focused on providing affordable care to lower-income patients, had 40,000 patient visits last year.
- The Community Volunteer program connected 464 graduate students and the academic community to over 8700 community members in Edmonton and around the globe. They shared their research and expertise in nearly 80 events such as the 3 Minute Thesis competition, presentations at the Edmonton Public Library, and judging events for Skills Canada.
- The School of Public Health launched a six-week executive Fellowship in Health System Improvement program in partnership with Alberta Health and Alberta Health Services. The program attracted 20 participants from 4 provinces, consisting of senior managers in health ministries, regional health authorities, and professional organizations.
- Faculty of Extension researchers acted as consultants and advisors to Mayor Don Iveson's End Poverty Edmonton initiative.

PM12: STUDENT-REPORTED CITIZENSHIP DEVELOPMENT, SENIOR STUDENTS

	2014
Experience at U of A has contributed to citizenship	82.0%
U15 Average	81.0%

Source: NSSE 2014

Notes: Includes senior students who answered some, quite a bit or very much to the following question: How much has your experience at this institution contributed to your knowledge, skills, and personal development in being an informed and active citizen? (senior students). New performance measure; no target set in 2016 CIP.

ENGAGING YOUTH

U SCHOOL:

Established in 2010, U School is a program that aims to introduce students in grades four to nine to the world of post-secondary. Classes attend a week-long, immersive educational experience on campus that is grounded in the Alberta curriculum. These classes come from socially vulnerable urban, Indigenous and rural communities, groups that tend to have lower post-secondary engagement. In 2016-17, U School hosted nearly 750 students from across Alberta, reaching north to Fort McKay and south to the Montana First Nation (near Ponoka). Today, the program is seeing its first alumni attend the U of A.

WHAT'S UP AT THE U?

The What's Up at the U? program engages high school students through presentations delivered by graduate students about their research and the unique programs available in their chosen disciplines. In 2016-17, the U of A visited four schools and engaged over 200 students. They learned topics as varied as neuroplasticity, historical languages, the rhetoric of guns and politics, the impact of social media and the philosophy of education in Muslim culture. Teachers report the parents have said their children are more driven to learn and are particularly inquisitive following the U of A's visits.

CAMPS AND SUMMER PROGRAMS:

- The Calgary Public Library and the U of A collaborated on a dino camp for six to 10 year olds who had no access to summer programming. A graduate student in Paleontology provided lessons on dinosaurs, as well as brought replica fossils and dinosaur bones, and had the children simulate a paleontology dig. She visited 12 library branches over five days and engaged approximately 300 children.
- The Faculty of Engineering's STEM-based DiscoverE programs (<http://discovere.ualberta.ca/AboutDiscoverE.aspx>) deliver high-impact classroom workshops, unique clubs and events, and engaging summer camps to more than 27,000 youth every year, and reached over 80 communities across northern Alberta and the Northwest Territories.

- The Faculty of Engineering ran more than 25 Aboriginal youth camps this year, reaching 3920 Indigenous students.
- The Faculty of Science offered a diverse range of summer camps for students in grades 1-12. Over 850 campers attended in 2016, with a total of 1,400 attending in just two years. In addition to the summer camps, the Faculty of Science hosted over 4,500 people on campus through public lectures and science events like Science Fun-day
- The Faculty of Education held a Young Indigenous Women's Circle of Leadership (YIWCL) day camp with the goal of creating a cultural blueprint for young Indigenous people so they can connect with their culture and know they have a place at post-secondary institutions.

OTHER YOUTH ENGAGEMENT HIGHLIGHTS:

- Dr Ania Ulrich is engaged with St. Joseph's High School Indigenous Leadership Academy and Alexis Nakota Sioux Nation focused on mentoring the next generation of Indigenous science, technology, engineering, and mathematics (STEM) leaders.
- Augustana hosted the Battle River School Division Science Fair in February 2017, which included community involvement from Camrose city councillors, local business leaders and alumni who assisted in judging the competition.

ENGAGING ALUMNI AND DONORS

ALUMNI:

The University of Alberta actively showcases the positive impacts of its alumni community. The Alumni Association promotes lifelong learning and profiles outstanding U of A research to the alumni community. In the past year, 53 U of A academic guest speakers were featured at alumni events in Edmonton and at regional events worldwide. In total, 356 alumni guest speakers participated in a variety of engagement opportunities, including lifestyle programs on parenting and budgeting, student recruitment and mentoring sessions, and career forums for students.

DONORS:

Donors are an important example of community support for the university, and key to the U of A's financial sustainability. The university recognizes their support through appreciation events, stories told during Changing Lives Week, February 27-March 3, and an annual report to endowment donors on the impact of their donations.

The university honoured the historic \$40 million gift of the Stollery Children's Hospital Foundation and \$14.5 million from the Royal Alexandra Hospital Foundation to the Women and Children's Health Research Institute with a special ceremony and media announcement.

BUILDING AND SUSTAINING ENGAGEMENT THROUGH THE MULTI-CAMPUS ENVIRONMENT

The U of A continues to strengthen its relationships with neighbouring communities. Through various neighbourhood committees, the university is in constant dialogue to share updates, concerns and opportunities about campus life and campus lands that may have impact on the larger community that we share. This is largely achieved by the U of A meeting on a regular basis to advance dialogue on how we live as one community.

The U of A's multi-campus environment provides access to unique opportunities and infrastructure for our surrounding communities and the public at large.

ENTERPRISE SQUARE:

- In 2016, the university welcomed new tenants to Enterprise Square. The Edmonton Public Library (EPL) Stanley A. Milner branch moved to the main floor of Enterprise Square (ESQ) in January 2016. They will be resident at ESQ for the three-year duration of their extensive renovations to their original location. Both partners share core values in learning, literacy, and community engagement - making the U of A and EPL natural partners. Over the course of their tenancy, it is anticipated that the U of A and EPL will deepen existing connections and spur further thought-provoking lectures and unique programs to engage learners of all ages.
- TEC Innovation District, TEC Edmonton's newly renovated ground-floor space in Enterprise Square, gives Edmonton's technology entrepreneurs another point of entry to access mentorship and coaching from an in-house team of entrepreneurs and experts. More than a community workspace, TEC Innovation District operates on an "entrepreneurs for entrepreneurs" philosophy, where business owners learn directly from others who have built successful companies. Participating companies receive personalized mentorship, 24-hour use of the downtown workspace, and access to TEC Edmonton's regular event programming as well as its network of partner companies.

AUGUSTANA CAMPUS:

- On March 1, 2017, Augustana hosted its annual Community Awards Banquet, which brings supporters together with the students who benefit from their generosity. The Community Awards Program was established in 1973 with a purpose that continues today: to assist in making post-secondary studies accessible for students and give them an opportunity, that they might not have had otherwise, to study at Augustana. This year, the Community Awards Program supported 183 students with over \$260,000 in donor-funded awards, scholarships, and bursaries.
- For the second year in a row, Augustana hosted over 200 grade seven students from two local schools for a Science Fair on campus.

CAMPUS SAINT-JEAN:

- The Campus Saint-Jean Gala (le Gala Saint-Jean) is an opportunity to gather students who have achieved one or more bursaries with community recipients of the Saint-Jean Recognition Awards. The event is a way to celebrate each one's success, and to connect members of the francophone community to the students. More than 200 people attended this year's gala dinner.
- In the Easter spirit, Friends of the CSJ (an organization of CSJ alumni) and the l'Institut Guy-Lacombe de la famille collaborate to create an Easter egg hunt. More than 200 people took part in this event. This event serves to gather CSJ alumni, families of l'Institut Guy-Lacombe, francophiles and community partners.

RECREATIONAL FACILITIES AT NORTH CAMPUS:

The U of A's outstanding recreational facilities are major contributors to Alberta's community infrastructure. Community users partner with U of A facilities to host for local, provincial, national and international special events such as tradeshow, conferences, and sporting events.

This year, North Campus hosted 44 community events over 93 days, with an estimated total attendance of 120,000. Highlights include:

- Fort McMurray Relief: the Universiade Pavilion was made available to serve as a Relief Centre for Fort McMurray evacuees over a period of 11 days, and 1,200 Fort McMurray evacuees were housed at the Lister Centre throughout May and June 2016.
- Canadian Gymnastics Championships and 2016 Olympic Qualifier
- Reconciliation Forum
- Remembrance Day Ceremony
- Athletics Alberta – local and provincial track and field meets

The Steadward Centre for Personal & Physical Achievement held its grand opening in September 2016 following extensive construction and renovations dating back to 2012. Founded in 1978, the Steadward Centre is an expert in Adapted Physical Activity and Para-Sport development, annually serving more than 1000 children and adults with disabilities.

RECREATIONAL FACILITIES AT SOUTH CAMPUS:

December 2016 saw the opening of The Dome at Foote Field, allowing for year-round use of the turf. The Dome is the largest, air-supported dome structure in all of Alberta and in addition to Golden Bears and Pandas athletics teams, the Dome hosts over 500 community users, including Edmonton Sport and Social Club teams. Foote Field hosts numerous major events, ranging from school track meets to the Canadian Track and Field Championships and Selection Trials.

The outstanding Saville Community Sports Centre is the home to all Edmonton Basketball Association and Edmonton Youth Basketball Association leagues, hosts numerous recreational leagues and events, and is home to Ortona Gymnastics. Overall, the Centre has 1.5 million visitors annually.

THE U OF A BOTANIC GARDEN

The 240-acre University of Alberta Botanic Garden is in a period of significant growth and renewal.

Plans to install a world-class Islamic garden, a gift from his Highness the Aga Khan, are in progress, and will further the garden as a site of learning, teaching, and research.

The Aga Khan Garden's Learning Dock will be used by the more than 17,000 local children who come to the garden's educational programs each year. The Master Gardener program will study design principles throughout the new garden and many of the over 50 community classes will avail themselves of the Aga Khan garden for pruning, water color and photography classes among others. With the completion of the Aga Khan Garden, attendance is expected to triple over the next several years.

Infrastructure upgrades, parking and entry redesign, and fundraising for two additional projects – a new welcome centre and an event pavilion in the Aga Khan Garden – are also underway.

The Botanic Garden is a major asset to the university and to the community at large, and these renewal projects will allow the garden to continue to excel and enrich for years to come.

SUSTAIN

GOAL

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

Our success as an institution is determined by our support for our people. To achieve our strategic goals, the University of Alberta works to attract and steward the resources we need to **excel** and deliver our core teaching and research mission at the high standard expected by all Albertans. We aim to **build** on our capacities for securing new sources of operating, capital, research, and philanthropic funding. We model and advance teaching and learning in the area of environmental sustainability on our campuses and in our work.

We **sustain** our people by promoting health, wellness, and safety as a defining feature of the University of Alberta's learning and working **experience**—by delivering proactive, relevant, responsive and accessible services and initiatives and by maintaining and enhancing the university's essential teaching, learning, and research infrastructure. Continuous improvement and cross-unit **engagement** and cooperation define our approach to governance and administration to ensure that our systems, policies, and procedures facilitate the achievement of our shared goals.

– For the Public Good

The University of Alberta's commitment to sustainability – social, fiscal, environmental - underpins all of our operations, and is reflected in our commitment to effective stewardship of public resources. This commitment is at the heart of the university's approach to demonstrating accountability to its funders, stakeholders, and communities. Moreover, efforts to ensure the sustainability and efficiency of university operations help to ensure that programs and services remain affordable and available into the future. The new university-wide Sustainability Plan articulates a multi-dimensional approach reflected across a range of priority initiatives, and our Capital Plan emphasizes the renewal and optimal use of existing infrastructure.

GOALS AND PRIORITY INITIATIVES

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
G10 Improve access to student services, especially those that support a healthy campus	Health, particularly mental health, is not the absence of illness. Programs to ensure well-being will benefit students, staff, and faculty, will make the university a more safe, productive, and accessible learning and work environment, and will ensure students reach their potential.	2018	Accessibility	Sustain 19
G11 Sustainable development program	Undertake programs and projects that reduce energy consumption, thereby reducing our carbon footprint as well as providing operating efficiencies.	Ongoing	Affordability	Sustain 20
G12 Functional renewal and reduction in deferred maintenance	Preserve existing physical assets by addressing deferred maintenance and functional renewal to acknowledge the changes in research and teaching requirements. Reduce the significant risk posed by the current institutional deferred maintenance liability.	Ongoing	Affordability	Sustain 23
G13 Envelope funding for pre-design services.	Pre-design services are critical to prepare for opportunities to implement capital projects more quickly than what has been traditional. Having "shovel ready" projects allows for quick response to funding availability on short notice and creates higher certainty in scope and budget profiles.	Ongoing	Affordability	Sustain 23
G14 New program space	A number of spaces are required to be modified, upgraded, and repurposed to support faculty renewal initiatives and to enhance the student experience.	Ongoing	Quality	Sustain 23
P1 Implement the recommendations of the <i>Healthy Campus Strategic Plan</i>	Ensure the alignment and optimal deployment of campus wellness services to ensure maximum benefit for faculty, staff, and students.	2018	Accessibility	Sustain 19.i
P2 Sustain and enhance student mental health initiatives, including increased access to mental health services	Mental health services and initiatives benefit the health of all members of the university community.	2017	Accessibility	Sustain 19.i
P3 Commence renewal of the Office of the Dean of Students	Commence a significant restructuring of the offices that deliver front-line student services. Increased capacity and more efficient access to student services will improve the overall student experience, thereby improving student satisfaction, retention, and completion rates.	2017	Accessibility	Sustain 19.ii
P4 Implement the recommendations of the <i>Review of the University of Alberta's Response to Sexual Assault</i>	Take action to provide a safe and secure working and learning environment, acknowledging the inherent dignity of each member of our community.	2017	Accessibility	N/A

CIP GOAL (G)/ PRIORITY INITIATIVE (P)	DESCRIPTION	COMPLETION	ADULT LEARNING SYSTEM PRINCIPLE	FOR THE PUBLIC GOOD OBJECTIVE
P5 Implement an institutional Sustainability Plan	The Sustainability Plan supports the three pillars of sustainability: environmental, economic, and social. Plans are in place to “green” U of A activities, to reduce energy demands, and to increase quality of experience on campus for all. This will include evaluating the benefits of adding energy co-generation capacity in the university heating plant to decrease greenhouse gas emissions.	2020	Affordability, Accountability	Sustain 20.i,ii,iii
P6 Co-generation	Installation of a gas turbine generator (TG3) with a heat recovery steam generator (HRSG). The intent is to install a natural gas turbine that generates 25 MW of power and simultaneously generates about 70,000 kg/hr of high-pressure steam.	2020	Affordability	Sustain 20.ii
P7 Enhancing basic service provision	These projects include the renewal of basic infrastructure services at all U of A campuses including planning, benchmarking, service reliability, heating and electrical plant expansions, and improvements to deep sewer, water supply, and road lighting.	Ongoing	Affordability	Sustain 23.i
P8 Research lab ventilation	Optimization of air flows for research labs to reduce exhaust and supply air deliveries (Phase 1 Li Ka Shing, Katz, CCIS and NREF).	Ongoing	Affordability	Sustain 23.i
P9 People counters (classrooms)	Installation of electronic devices in classrooms that measure occupancy and utilization.	2016	Affordability	Sustain 23.i
P10 Build sufficient residence capacity to house all first-year students requesting on-campus housing	Students’ academic experience is enriched by linking learning with other aspects of their lives. Living in on-campus residences significantly affects and supports student success and provides opportunities and access to rural, Indigenous, under-represented, and international students. Phase 1 of the expanded housing strategy will include design and construction of 820 new bed spaces.	2018	Accessibility	Sustain 23.ii
P11 Pre-design services	Pre-design services will be completed for several buildings including the Medical Sciences, Clinical Sciences, Augustana Science, South Academic, and Mechanical Engineering buildings.	2018	Affordability	N/A

SUSTAINING THE HEALTH AND WELLNESS OF OUR STUDENTS

Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives

– For the Public Good

On July 1, 2016, the university welcomed Andre Costopoulos as its new Vice-Provost and Dean of Students. Led by the Office of the Dean of Students, the university in 2016-17 offered a range of mental health and sexual assault supports. While centered on students, these benefit the entire U of A community.

This year also saw an extended consultation process to develop a Healthy University Strategic Plan, which is intended to provide a comprehensive approach to supporting health and wellness over the coming years.

MENTAL HEALTH ACTIVITIES AND SUPPORTS:

The U of A offers a robust system of mental health supports, including triage and treatment through Counselling and Clinical Services, health promotion activities led by a Community Social Work Team, and a range of crisis intervention supports.

The 2016-17 year saw increased uptake of existing services, and the university made concerted efforts to enhance policies and programs that support mental health promotion and early interventions. The aim is to decrease the need for crisis services by supporting early access to supports. Progress in 2016-17 includes:

- Finalization of the University of Alberta Healthy Campus Policy
- 5,457 direct treatment hours provided to students at Counselling and Clinical Services (CCS), as of February 1, 2017
- 184 clinical group therapy session hours provided to students
- 590 outreach hours provided to faculty and staff in support of student mental health
- Participation of 1,310 students and 191 faculty/staff in health promotion learnings or activities led by the Community Social Work Team (CSWT) (as of February 1, 2017)
- 1,841 attendees at 12 CSWT workshops and 4,554 attendees at 26 CSWT events (e.g. Days of Action)
- 637 students attending 10 UniTea Peer Listening sessions
- Coordination of Campus Alberta mental health assessment activities.

ACTIVITIES AND SUPPORTS TO ADDRESS SEXUAL VIOLENCE

Addressing sexual violence through prevention and survivor supports is a high priority for the U of A. The university continued efforts to coordinate sexual violence supports across the community. Key highlights include:

- Approval of a sexual violence policy for the entire U of A community.
- Initiation of a Sexual Assault Response Implementation Committee (SARIC), which oversees progress on the recommendations made in the 'Review of the University of Alberta's Response to Sexual Assault' released in February 2016. All 46 of the recommendations are currently either addressed or in progress.

On an ongoing basis, the Sexual Assault Centre (SAC) offers crisis intervention programming (208 students, faculty, and staff supported in 2016-17), psychological support programs (368 hours of support in 2016-17), and anti-sexual violence and consent-based education (reaching 5172 students and 115 faculty and staff this year). The SAC engaged targeted outreach in partnership with The Landing: A Space for Gender and Sexual Diversity, the Aboriginal Students Services Centre, and International House, and partnered with the Sexual Assault Centre of Edmonton (SACE) to run anti-sexual violence education and Bystander Intervention Workshops for bar staff.

A COMPREHENSIVE SUSTAINABILITY PLAN

Continue to build and support an integrated approach to social, economic, and environmental sustainability that incorporates teaching and learning, research, outreach, capacity building, and the operations that support them

– For the Public Good

The University of Alberta is aiming to keep 90 percent of its waste out of the landfill by 2020—in alignment with the City of Edmonton's waste diversion target. That's just one of several goals in the university's new Sustainability Plan, which promotes goals big and small, from mitigating climate change to phasing out polystyrene dishware from food vendors on campus.

The plan, released last December, will guide university-wide sustainability initiatives through 2020. It includes dozens of new initiatives covering all aspects of university life, including work on waste management systems and making buildings more sustainable. One of the plan's most significant objectives is to reduce the university's greenhouse gas emissions to 17 percent below 2005 levels by 2020, in line with Canada's pledge under the 2009 Copenhagen Accord.

In the last year, the U of A was recognized with a TOBY Outstanding Building of the Year award for the retrofit of Triffo Hall, and was named one of Canada's Greenest Employers for the eighth consecutive year.

ENERGY MANAGEMENT AND DISTRICT ENERGY

The university's Energy Management Program, in operation for over 35 years, implements energy efficiency and conservation measures across campus. The Energy Management Program saves the university over \$15 million in energy-related costs per year.

A District Energy System centralizes the production of heating, cooling and electricity for a neighbourhood or community. In general it is more efficient than having separate systems in each building, because it uses less fuel and reduces maintenance, transportation and distribution costs. The University of Alberta owns and operates the fifth largest District Energy System in North America. It uses natural gas for fuel which burns with fewer emissions than a traditional coal fired plant. The heating plant, in which the gas is burned, uses cogeneration technology to capture the heat that is emitted as a by-product of electrical generation. This heat, which would otherwise be lost, is reused to heat campus buildings.

SUSTAINABILITY ENHANCEMENT FUND

The Sustainability Enhancement Fund (SEF) is a granting program that encourages and supports collaborative projects that improve the university's operational performance, fosters campus engagement, and demonstrates the viability of best practices and technologies. The funds originate from the savings generated from energy efficient projects from the University of Alberta's Energy Management Program. Since 2011, the SEF contributed to four projects, totaling \$107,579. One of these was the EcoCar: a cutting-edge, zero emission, and sustainability-focused vehicle that was designed by U of A students. In the summer of 2016, the EcoCar competed in Shell's "Driver's World Championship" in London, a speed and efficiency competition with qualifying teams from around the world.

SUSTAINING OUR INFRASTRUCTURE

Ensure that the University of Alberta's campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university

– For the Public Good

The university's Capital Plan prioritizes the renewal, repurposing, and optimal use of existing assets to meet future needs. Progress against the Capital Plan is detailed in the Capital Plan section of this report.

FINANCIAL HIGHLIGHTS

FINANCIAL STATEMENT DISCUSSION AND ANALYSIS YEAR ENDED MARCH 31, 2017

(in millions of dollars)

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

<http://uofa.ualberta.ca/reporting>

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

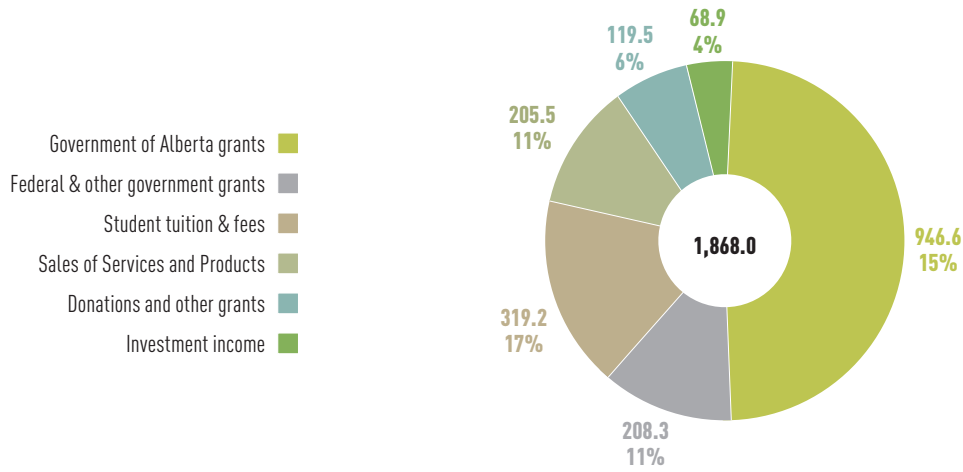
- Summary of Financial Results
- Revenue and Expense
- Capital Acquisitions
- Net Debt
- Net Assets
- Areas of Significant Financial Risk

SUMMARY OF FINANCIAL RESULTS

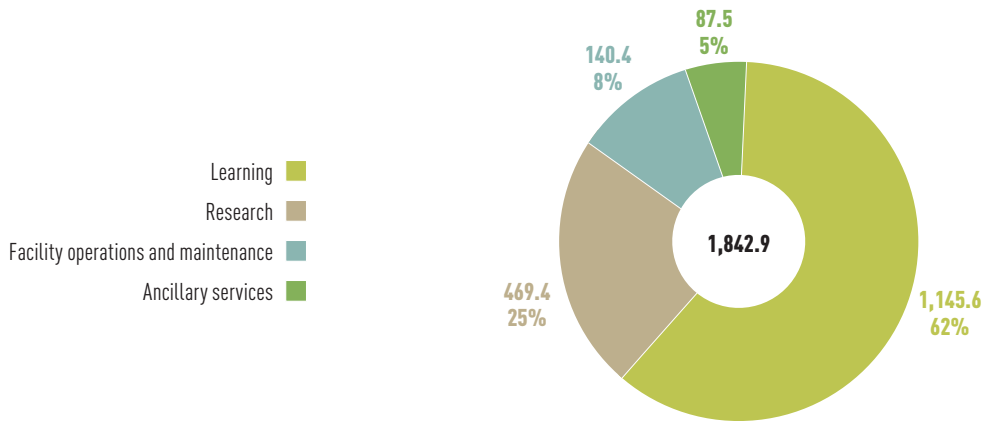
The university ended the year with an annual surplus of \$83.4 million. Of this amount \$58.3 million are donations directed to endowments and endowment capitalized investment income and therefore are not available for spending. The annual operating surplus of \$25.1 million (budget: \$37.6; 2% of total revenue) was primarily used for purchases of capital assets and debt repayment.

Net assets of \$1,873.2 million increased from the prior year (2016: \$1,677.3). The increase is mainly due to an increase in endowments.

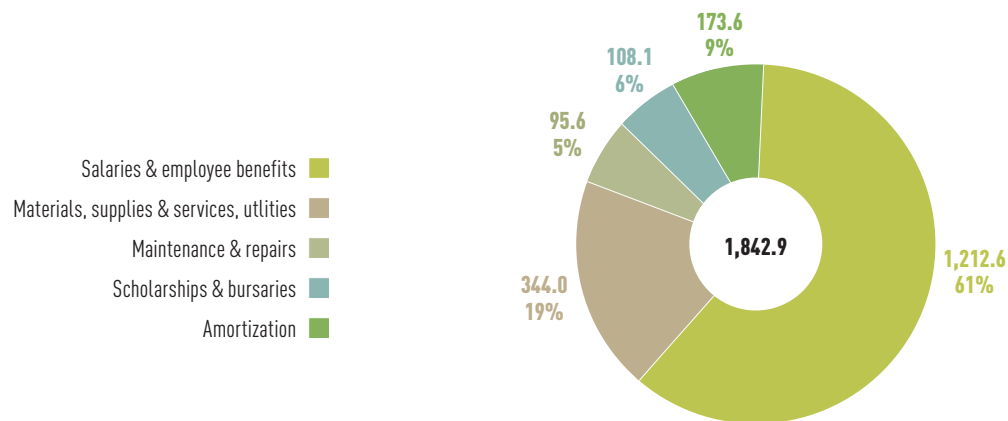
REVENUE



EXPENSE BY FUNCTION

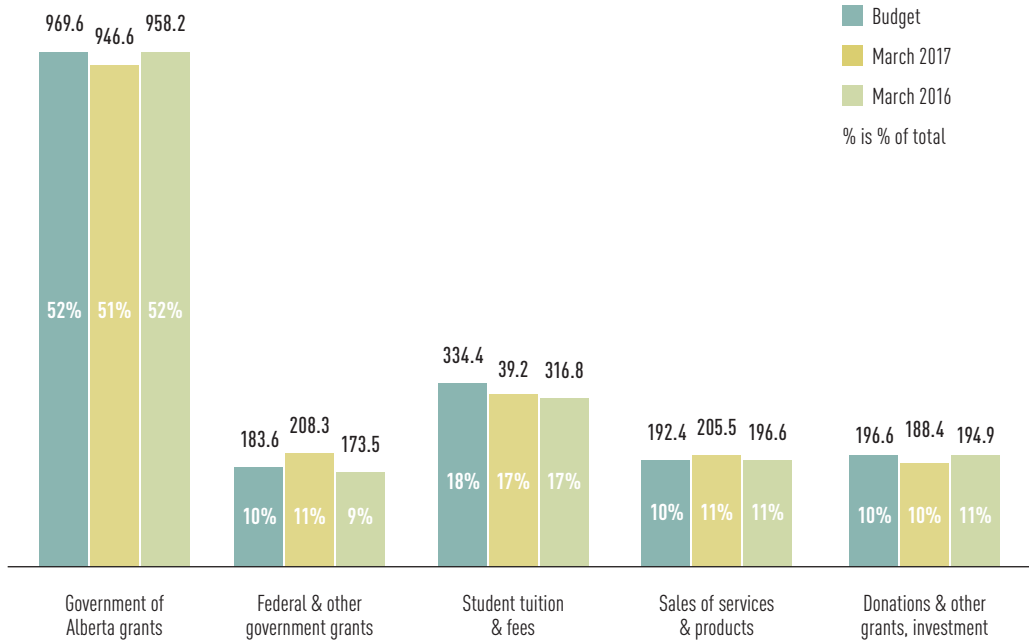


EXPENSE BY OBJECT



REVENUE

Total revenue for the period was \$1,868.0 million, an increase of \$28.0 million over the prior year and \$8.6 million (0.5%) less than budget. Government of Alberta grants are the single largest source of university revenue at 51% of total revenue.



Government of Alberta grants (GoA) represent the university’s single largest source of funding for university activities. The GoA has increased the Campus Alberta grant (base operating grant) by 2%. GoA grants are comparable to budget. Although grants received for restricted purposes were greater than prior year, the expenditures were less than budget, thereby deferring the recognition of this grant revenue until next year.

Federal and other government grants primarily support the university’s research activities. Grants are more than budget due to higher than budgeted expenditures, thereby recognizing more than budgeted revenue.

Student tuition and fees budget has remained relatively unchanged from prior year. Tuition includes instructional fees (linked to annual CPI increase), market modifiers, program differential fees and international student fees. In June 2015 the GoA announced a two year regulated tuition freeze. In October 2016 the GoA announced that this freeze will be extended to 2018. GoA has replaced this funding with an infusion of cash that is reflected in GoA grant revenues. Student tuition and fees is less than budget mainly due to lower than budgeted enrolment.

(enrolment - \$4.0; enrolment with market modifiers and program differentials - \$9.4)

Sales of services and products revenues are generated by ancillary services and faculties and administrative units to both individuals and external organizations. Ancillary services generated sales of \$94.8 million, while other units generated sales of \$110.7 million. Sales revenue is slightly more than budget.

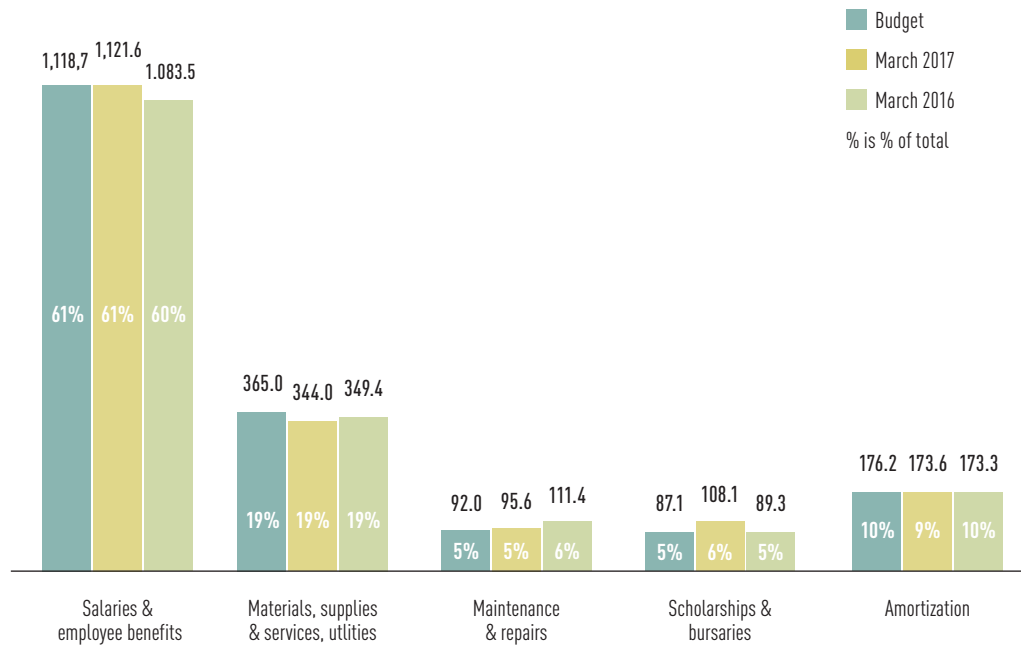
Donations and other grants support many university activities. Revenue is less than budget due to less than anticipated expenditures in the restricted funds, thereby deferring the recognition of some grants and donations until next year.

Investment income is \$6.2 million more than budget. Investments fall into two categories, the Unitized Endowment Pool (UEP) and the Non-Endowed Investment Pool (NEIP). The UEP had a return of 14.9% (2016: (0.4%) loss) and represents the majority of the university's long-term investment strategy. The NEIP investments which are allocated to the short-, mid- and long-term investment strategies had a return of 4.4% (2016: 0.6% return).

EXPENSE

Total expense for the year was \$1,842.9 million, an increase of \$36.0 million over the prior year and \$3.9 million (0.2%) more than budget. Salaries and employee benefits are the single largest expense representing 61% of total expense.

EXPENSE BY OBJECT



Salaries and employee benefits are comparable to budget.

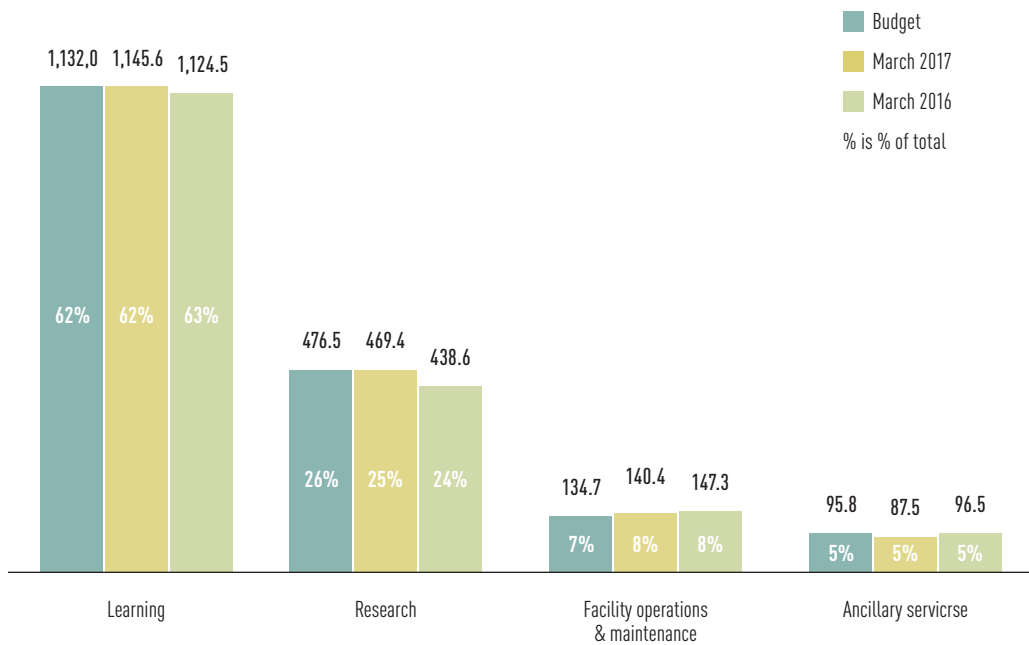
Materials, supplies and services are comparable to budget. Utilities are less than budget due to lower than budgeted utility rates.

Maintenance and repairs is comparable to budget.

Scholarships and bursaries are more than budget due to graduate scholarships (not budgeted) in the research fund and a change in the graduate student agreement. Under the new agreement graduate research assistantship fellowship payments that had previously been paid as salaries are now paid as bursaries.

Amortization is comparable to budget.

EXPENSE BY FUNCTION



Learning effectively represents the operating activities of the university. A significant component of this category is salary and employee benefit costs. Learning also represents non-research activity funded through restricted grants and donations and includes undergraduate student scholarships, student bursaries, teaching and learning programs, and community service. This expense is comparable to budget.

Research activities expenses are funded by restricted grants and donations as well as internal funds designated for research related spending. This expense is comparable to budget.

Facility operations and maintenance represents the cost of maintaining university facilities and grounds. This expense is comparable to budget.

Ancillary services include the university bookstore, parking services, utilities and student residences. Ancillary services are less than budget mainly due to lower utility rates.

CAPITAL ACQUISITIONS

The university expended \$145.3 million (March 2016: \$149.9) on construction and other tangible capital asset acquisitions.

The most significant construction and capital asset acquisitions in 2017 are:

- Three new residence construction projects - Peter Lougheed Hall, East Campus Village and Lister
- Research Collections Resource Facility - a new facility to replace the existing document storage site
- University of Alberta Botanic Garden - Aga Khan Garden

NET DEBT

The university's liquidity needs are met primarily through operating cash flows, working capital balances and capital expansion funding received through grants or long-term debt. Net financial assets (net debt) is a measure of an organization's ability to use its financial assets to cover liabilities and fund future operations. University management monitors net financial assets (net debt) excluding portfolio investments restricted for endowments, as these are the assets the university has available for future spending.

The net debt (excluding portfolio investments restricted for endowments) indicates that the university has a \$227.4 million deficiency (2016: \$234.0 deficiency). The deficiency can be attributed to employee future benefit liabilities (2017: \$251.1; 2016: \$259.1) which include the Universities Academic Pension Plan (UAPP) (2017: \$157.6; 2016: \$170.7) and other benefit plans such as supplementary retirement, long-term disability and early retirement (2017: \$93.5; 2016: \$88.4). The UAPP has a plan in place to address the unfunded liability and the university plans to use working capital to fund the other benefit plans (refer to the employee future benefit liabilities note in the financial statements for further information).

NET ASSETS

The net assets measure provides the net economic position of the university from all years of operations. Net assets are comprised of:

	March 2017	March 2016
Endowments	\$ 11,304.3	\$ 11,149.7
Investments in tangible capital assets	585.0	551.4
Accumulated deficit from operations	(16.1)	(23.8)
Net assets	\$1,873.2	\$1,677.3

Endowments represent contributions from donors that are required to be maintained intact in perpetuity, as well as capitalized investment income that is also required to be maintained in perpetuity to protect the economic value of the endowment. Therefore endowments are not available for spending. The university's endowment spending policy provides for an annual spending allocation to support a variety of key initiatives in the areas of academic programs, chairs and professorships, scholarships, bursaries and research. The increase to endowments of \$154.6 million is due to new donations (\$34.7) and capitalized investment income (\$119.9). The endowment spending allocation was \$36.8 million (2016: \$35.7).

The \$33.6 million increase in tangible capital assets consists of acquisitions (\$97.5) and debt repayments (\$10.5), less new financing (\$15.2) and amortization (\$59.2).

The accumulated deficit from operations was reduced by \$7.7 million.

AREAS OF SIGNIFICANT FINANCIAL RISK

The university operates in a complex environment and must deal with a variety of risks which it manages through its integrated enterprise risk management framework. The major risks that can affect the university from a financial perspective are as follows:

Provincial Funding and Tuition Fees

The Campus Alberta grant is the primary source of funding for the university's day to day operating activities. Any reduction in the Campus Alberta or Academic Alternative Relationship Plans (AARP) grants result in significant budgetary pressure. AARP grants provide funding for a significant number of professors in the Faculty of Medicine and Dentistry permitting them to do teaching and research as well as clinical practice.

The university recognizes that funding models are changing. Government support is under pressure given the province's fiscal outlook. Grants, tuition and other revenue generation initiatives are under government control, which puts significant pressure on university finances.

The province has announced a 2% Campus Alberta grant increase for fiscal 2018. Tuition fees will remain frozen until fall of 2018 while the tuition regulations undergo review. Unlike fiscal 2017, no tuition backfill funding will be provided. In addition the province is reviewing the post-secondary funding model. The impact to university revenue of a 1% change to the Campus Alberta Grant is \$6.2 million and a 1% change to tuition is \$1.5 million.

Salaries and Employee Benefits

The province has passed legislation that brings all academic employees under the Labour Relations Code, thereby granting the university's staff associations all the rights and remedies that are granted to unions under the Code, including the right to strike and the right to lock-out employees. The university will also be required to negotiate essential services agreements for both academic and support staff. These changes will have an impact on future salary negotiations.

In June 2016, the Federal and Provincial Finance Ministers agreed to enhance the Canada Pension Plan (CPP). The impact of the increases to employer basic CPP contribution rates will be an additional \$1 million in each year 2019 through 2023, \$2.5 million thereafter.

Pension and Employee Future Benefits

The university currently carries a liability of approximately \$251 million for employee future benefits, representing probable future payments for benefits earned to date. This balance can change for many reasons outside the university's control, including discount rates, salary escalation and inflation.

The university's cost of benefits is expected to increase by between 5% and 7% per year in the upcoming years and this is not sustainable. Approximately 61% of the university's non-pension benefit costs relate to programs the university and its staff co-operatively manage and which are bargained with our staff associations.

The largest of the unfunded liabilities is the university's share of the UAPP, which is approximately \$158 million, based on the current actuarial assumptions. The impact to the university's share of the unfunded liability of a 1% increase in the inflation rate assumption would be an increase of approximately \$54 million, a 1% increase in the salary escalation assumption would be an increase of approximately \$12 million, while a decrease of 0.25% in the discount rate assumption would lead to an increase of approximately \$28 million. The continuing increase in pension plan contributions represents a significant risk. Without structural reforms to the pension plans, the level of pension plan contributions as a percentage of total benefit costs could become a recruitment impediment.

Information Technology

Information technology (IT) costs are over \$90 million per year. IT deferred maintenance is becoming more of a risk as usage and reliance continues to grow against an aging infrastructure. There are risks in this area that could result in financial and reputational issues. The university remains vigilant and proactive in addressing risks to its systems and information.

Deferred Maintenance

As the largest and oldest post-secondary institution in the province, the university's deferred maintenance continues to increase and is estimated at \$938 million in 2016. This level of deferred maintenance could result in a significant building system failure, negatively impacting the university's operations.

INTERNATIONALIZATION

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

GLOBAL ENGAGEMENT

U of A programs enhance perspectives on challenging global issues and promote cross-cultural understanding and communication skills. These experiences equip students with the necessary knowledge and skills to be successful in an increasingly global environment. Our student-centered initiatives, which promote global engagement, include:

- Enhanced experiential, internship, and co-op experiences in international settings (including the e3 program in Berlin, Brazil, France, and Washington, as well as other educational and research abroad programs in more than 60 countries)
- The Certificate in International Learning (CIL), an embedded undergraduate certificate documenting students participation and achievement in international learning
 - o In 2015-16, 52 students from five faculties graduated with the Certificate and currently there are 261 students from all undergraduate faculties (except Medicine and Dentistry) enrolled and working to complete certificate requirements
- The Canadian Learning Initiative in China (CLIC), which connects Canadian students with fully-funded study abroad opportunities in China
 - o U of A had 37 students participate in 2016, with 67 students registered for 2017.
- Increased opportunities for U of A students to participate in shorter-duration international experiences, either as an integral component of academic courses or independently (including the Alternative Reading Week program in the Faculty of Agricultural, Life and Environmental Sciences)
- Multiple formal joint and double degree programs with partner institutions from around the world

RESEARCH

The university is a research-intensive institution with output that is recognized globally in diverse disciplines. Through active, collaborative research with teams from all over the world, professors advance knowledge, education, and pedagogy in their respective disciplines. Global research engagement has many benefits for the U of A and the province, including leveraging

funding resources and expertise from other parts of the globe to address challenges that affect everyone, including Albertans. The U of A continues to engage in high-quality, multidisciplinary, multinational research projects in many parts of the globe, including:

- strengthening existing strategic international partnerships with India, China, Germany, the United States, Mexico, and Brazil
- fostering new, multidisciplinary, multinational research projects in diverse disciplines with partner institutions from other countries
- leveraging international funding agencies to secure resources to tackle emerging problems in regions of interest.

DIVERSITY

The presence of international students and foreign-trained experts broadens the perspective, impact, and relevance of the U of A's teaching, research, creative activities, and community service work. International students who are educated at the U of A and remain in Alberta provide the province with additional highly skilled, innovative, and entrepreneurial professionals. They also bring cultural diversity together with global connections, insights, and alternative perspectives on issues and challenges that better position the university, businesses, and the province. Recruitment of exceptional undergraduate and graduate students from targeted highly ranked foreign institutions advances the university's academic enterprise and objectives. In 2016-17, approximately 14 percent of our undergraduate population and 34 percent of our graduate population were international students.

OFFSHORE PROGRAM DELIVERY

The following table reports core metrics for offshore program delivery, per the provincial Guidelines for Off-Shore Delivery of Alberta Post-Secondary Programs and Training.

Though this table includes all credential programs offered outside of Canada and joint/dual degree programs with students currently registered, it underrepresents the full scope of the university's international educational activities. First, it does not include stand-alone courses or international co-op and experiential components of domestic programs. Second, it does not fully reflect joint degree programs. In certain joint degree programs, students based at a foreign home university may spend time at the U of A as visiting students during the course of their program, often working with a U of A faculty mentor, but may petition for joint degree status only as they prepare to graduate. These students are not captured in the program enrolment data reported below.

INTERNATIONAL SHARED CREDENTIALS (DUAL/JOINT DEGREE) PROGRAMS

UALBERTA FACULTY	COUNTRY	FIELD OF STUDY	COURSES OFFERED (I.E., UALBERTA COURSES OFFERED ABROAD)	LEVEL OF STUDY	QUALIFICATION OFFERED (FULL OR PARTIAL)	TYPE OF OPERATION AND PRINCIPAL MODE OF DELIVERY
Alberta School of Business	France	Business	N/A	Master's	MBA from U of A and MSc from EDHEC	Dual degree; in person
Alberta School of Business	Japan	Business	N/A	Master's	MBA from each institution	Dual degree; in person
ALES	Germany, UK, Finland	Forestry, Forest Conservation, Environmental Science, Conservation Biology	N/A	Master's	MSc or Master of Forestry from U of A; degrees from other institutions vary	Dual degree; in person
Faculty of Arts	Germany	Arts	N/A	Doctoral	PhD from home institution with notation on parchment	Joint degree; in person
Faculty of Education		Education				
Faculty of Science		Science				
Faculty of Education	South Korea	Education	N/A	Master's or doctoral	MA/MSc/MEd or PhD/EdD from both institutions with parchments noting the names of both institutions	Dual degree; in person
Faculty of Engineering	France	Engineering	N/A	Master's	MSc from UAlberta and Dipl. of Ing. degree from INPL	Dual degree; in person
Faculty of Pharmacy and Pharmaceutical Sciences	Brazil	Pharmacy	N/A	Master's or doctoral	MSc or PhD from each institution	Dual degree; in person
Faculty of Science	Malaysia	Science	N/A	Doctoral	PhD from each institution	Dual degree; in person

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

INSTITUTION	NUMBER OF STUDENTS FOR 2016/17* (UA STUDENTS ABROAD)	NUMBER OF STUDENTS FOR 2016/17* (UA STUDENTS IN PROGRAMS AT UA)	NUMBER OF STUDENTS FOR 2016/17* (STUDENTS FROM ABROAD CURRENTLY AT UA FOR PROGRAM)	TYPE OF ACTIVITY (COURSES, RESEARCH, OR POSSIBILITY OF BOTH)	OTHER NOTES
EDHEC Business School	0	0	6 (5 were last registered in Spring 2016)	courses	
Nagoya University of Commerce and Business (NUCB)	0	0	0	courses	
Albert-Ludwigs-University (Freiburg)	4	1	2	both courses and research	Master's programs leading to dual degrees in Forestry and Environmental Management (TRANSFORM-M). Students spend one year in Europe, one year at UAlberta.
Bangor University (Wales);	1	0	0		
University of Eastern Finland	0	1	0		
Ludwig-Maximilians-Universität München (LMU)	1	1	0	both courses and research	
	0	0	0	both courses and research	
	0	0	0	research	
Seoul National University	0	0	2	both courses and research	
University of Lorraine	0 (non-reciprocal)	0	9	both courses and research	Agreement for incoming students only
Universidade de Sao Paulo (USP)	1	0	1	research	
Universiti Putra Malaysia (UPM)	0	0	1	research	

Notes: Year is calculated starting from the spring term (i.e. 2016/17 includes Spring, Summer, Fall 2016 and Winter 2017) In addition to the programs listed in this table, the university offers the following programs that have no students currently enrolled:

- Dual degree Bachelor of Arts, offered in partnership with Ritsumeikan University (Japan), course-based, delivered in person
- Dual degree MBA from U of A and MBA or MSC from WHU – Otto Beisheim School of Management (Germany), course-based, delivered in person
- Dual degree PhD from U of A and Universidade Estadual de Campinas (Unicamp) (Brazil), research-based, delivered in person

UNIVERSITY OF ALBERTA PROGRAMS DELIVERED OFFSHORE

MASTER OF FINANCIAL MANAGEMENT PROGRAM (ALBERTA SCHOOL OF BUSINESS)

1. Country location	China
2. Field of study	Business
3. Courses offered (i.e., U of A courses offered abroad)	<ul style="list-style-type: none"> • Introduction to Financial Management • Investments • China Investment Banking • Corporate Finance • International Finance • Risk Management • Fixed Income • History of Finance • Mergers and Acquisitions • Accounting for Managers • Strategic Tax Planning • Financial Statement Analysis • Strategic Financial Management (Capstone)
4. Level of study	Master's
5. Qualification offered (full or partial)	Master of Financial Management
6. Type of operation and principal mode of delivery	U of A degree granted; Joint teaching with Xi'an Jiaotong University, face to face (in person)
7. Name of international program partner	Xi'an Jiaotong University
8. Number of students (heads and FLEs) for 2016-17	91

Source: Alberta School of Business via University of Alberta International

INFORMATION TECHNOLOGY

The primary areas where IT is applied at the U of A to support the university's core mission are:

- Support for research: providing consulting and state-of-the-art systems to support innovative research, including high-performance computing and large-scale data storage.
- Support for access: offering enhanced systems and processes for undergraduate admissions and graduate student scholarships and awards, including enrolment management systems and an institutional data warehouse accessible by admissions personnel across Faculties.
- Support for teaching and learning: increasing capacity to use digital technologies to enhance learning experiences in-person and for distance education, including support for alternative delivery programs (such as the Master of Arts in Communications and Technology), blended delivery, and other innovative delivery models (such as enabling satellite course sites for courses in rehabilitation medicine).
- Support for efficiency and sustainability: enhancing the efficiency of administrative systems, including monitoring and performance reporting of student progress, and support for accreditation processes in professional Faculties.

In support of these priorities, the university delivered the following major IT enhancements in 2016-17:

- automated evaluation of high school transcripts, leading to automated evaluation for admission
- full rollout of a new graduate admissions system, and replacement of the system used to administer \$35 million annually in graduate awards
- deployed a commercial tool for marking and grading of assignments and exams in large course sections
- extended Google Classrooms as an ongoing service, to support UofA student teachers during their practicum assignments in several regional school districts
- a major upgrade of our HR system (staffing, payroll, benefits, etc. for all faculty and staff)
- completed the roll-out of our IT Financial Management (ITFM) tool, for managing both operating and capital expenditures within central IT
- collaborated with others in the Alberta postsecondary sector to establish a shared procurement model, within which two initial RFPs were completed.

Other major projects that were initiated in 2016-17 and will be completed in 2017:

- substantial upgrades to the research network infrastructure
- roll-out of a new identity and access management system, replacing an at-risk in-house system with a commercial product.

CAPITAL PLAN

INFRASTRUCTURE

With five well-established major campuses to support, the University of Alberta carefully evaluated its academic requirements with a view to prioritizing infrastructure investments to capitalize on the utilization of existing, although functionally inadequate infrastructure. While investments across Edmonton's North and South campuses most immediately come to mind, investments in Augustana and Campus Saint-Jean have been key to maintaining and developing programming for rural liberal arts and sciences as well as the only fully bilingual post-secondary campus in Western Canada.

The functional, operational, and environmental realities of the university's older facilities are that they are simply incapable of meeting the needs of today's students or faculty members. Combining functional and physical renewal projects provides a best-value model for capital projects, minimizing the need for new buildings, while facilitating the needs of today's learners and researchers, all at a significantly reduced capital cost.

Our priorities shifting to reclaiming space resulted in improved program outcomes for many faculties while curtailing the requirements for new builds. Additionally, the requirement for leased space will decrease diverting fewer resources away from learning and research.

In 2016-17, the university's infrastructure objectives were to:

- support the academic and research goals while maximizing use and life of existing infrastructure by ensuring that space is functional for current and future learning and research.
- maximize opportunities to identify and proactively address deferred maintenance and functional renewal with a specific focus on energy and carbon footprint reductions.
- ensure stable, long-term funding for deferred maintenance.
- maintain the reliability of the university's utility plant through focused investment to address deferred maintenance and increased efficiency with new technology.
- reduce the risk of building system failures that could affect life safety or result in building closures.
- maintain and improve the condition through renewal and repurpose to improve the functionality of the university's physical assets, which are critical in attracting, supporting, and retaining the best students, researchers, and faculty.

HIGHLIGHTS IN 2016-17:

- Successfully partnered with the two levels of government involved in the Post-secondary Strategic Investment Fund (SIF) program to undertake ten projects with a combined value of \$131.9 million, directly impacting renewal and repurposing of existing facilities to address teaching and research priorities.
- Successfully completed the Canadian Ice Core Archive resulting in the transfer of 12 ice cores from the Geological Survey of Canada's Ice Core Research Laboratory to the university.
- Successfully obtained national recognition through the Building Owners and Managers Association (BOMA) for facilities operation with the Edmonton Clinic Health Academy recognized regionally and Triffo Hall recognized nationally.
- Completed the final phase of the University Hall renewal extending its life and reducing its deferred maintenance to zero.
- Via the university's District Energy System, provided substantial savings in utility costs, not only to the university, but also other taxpayer-funded institutions such as the Walter C. Mackenzie Health Sciences Centre (University of Alberta Hospital, Stollery Children's Hospital, and Mazankowski Heart Institute); the Cross Cancer Institute, Canadian Blood Services, and the Jubilee Auditorium. Over the past five years, the university's average purchase prices for natural gas and power have been the lowest among the major post-secondary institutions in Alberta, averaging 18 percent less for natural gas and 16 percent less for electricity. These savings, while still significant, continue to drop due to relatively weak market prices for these commodities.
- Continued to support, via the District Energy Plan, the replacement of aging infrastructure and adoption of new technology.
- The university's Energy Management Plan is not only financed through borrowing and repaid through resulting energy savings, but also resulted in significant reductions in greenhouse gas emissions.
- Revised the renewal project for the Cameron Library, which now includes defined energy savings, green construction initiatives, and partnering with student groups for research.
- Conducted extensive building investigation and design reviews in support of the recently announced complete renovation of the Dentistry-Pharmacy building.

CAPITAL PLAN

The University of Alberta's highest priority projects are strategically linked to the 2016 Comprehensive Institutional Plan (CIP) goals and aligned with the Government's adult learning system's principles of accessibility, affordability, quality, coordination, and accountability.

The university has maintained its focus on addressing deferred maintenance and functional renewal / repurposing of existing physical assets, as well as reviewing how underused space can provide cost-effective opportunities for consolidation and repurposing to enhance space in order to build essential teaching and research capacity. With this key work complete, critical expansions would be required only to meet the needs of tomorrow's students, faculty, and researchers with a view to maintaining the institution's competitive global position.

The following tables identify the capital priorities detailed in the 2016 CIP, including those enabled by the Post-Secondary Institutions Strategic Investment Fund (SIF), and the resulting progress made in 2016-2017. Estimated costs, where included, are taken directly from the CIP. As the university prepares its Building and Land Information Management System (BLIMS) submission, some cost projections may be adjusted.

NEW CAPITAL PRIORITIES

The Comprehensive Institutional Plan identified many of the university's highest priority projects as new projects requiring additional funding from government and philanthropic sources. While these projects were seen as supportive of, and strategically linked, to the CIP, the focus of the university has since dramatically shifted to that of functional renewal and better utilization of existing space.

Functional and physical renewal of our current facilities is seen as the best alternative to new buildings, although the challenges inherent with a significant deferred maintenance liability persist.

The table below, which is presented to align with the CIP, reflects the priority projects at a time when consideration of new or expanded buildings was more positively viewed, which is not the case today.

PROJECT	DESCRIPTION	STATUS	EXPECTED COMPLETION	2016-2017 PROGRESS
Faculty of Arts <i>Estimated cost - \$175M</i>	Development of space housing the Department of Music and Department of Arts and Design in partnership with the private sector.	On hold pending philanthropic and government financial support.	TBD	Concept development and budget progression
Maskwa House of Learning <i>Estimated cost - \$30M</i>	Centre focused on indigenous students, faculty, and staff to serve as a community gathering place embracing and providing an inclusive and supportive learning environment.	On hold pending philanthropic and government financial support.	TBD	Project advanced to the design development phase including budget update.
Translational Lab (HUB) - The Edmonton Clinic Diagnostic Centre <i>Estimated cost - \$60M</i>	Addition of one floor to Alberta Health Services' proposed diagnostic centre.	Discussions with government partners continue.	TBD	Site selections reviewed.
Twin Arenas - South Campus <i>Estimated cost - \$81M</i>	Supporting the long-range plan to move all varsity programs to South Campus and also having facilities serve the community as well as the university.	Discussions with community and government partners continue. Secured financial commitments of approximately \$45 million.	TBD	Concept development and business case completed. Partnership agreements 90% complete.
Alberta School for Business - New Facility <i>Estimated cost - \$185M</i>	A partnered opportunity with private sector facilitating social sciences programming.	On hold pending government financial support.	TBD	Design progression. Functional programming and concept development underway.
South Campus - Basic Infrastructure <i>Estimated cost - \$15.6M</i>	To support development of the NE sector including deep sewer, water supply, and road lighting.	On hold pending government financial support.	TBD	Advanced storm water pond and electrical service study.
South Campus - Utilities / District Energy Plant <i>Estimated cost - \$132.2M</i>	Modeled after the North Campus system, installing a district energy system incorporating a combined heat and power plant.	On hold pending government financial support.	TBD	N/A

EXPANSION PRIORITIES

PROJECT	DESCRIPTION	STATUS	EXPECTED COMPLETION	2016-2017 PROGRESS
Augustana - Science Labs and Classrooms <i>Estimated cost - \$90M</i>	Two labs plus a prep lab are being renewed to address capacity, accessibility, and deferred maintenance issues.	Financial support provided with SIF grant; construction underway.	September 2017	Mostly complete.
Campus Saint-Jean - Science Building <i>Estimated cost - \$40M</i>	Chemistry and physics labs are being renewed to address capacity, accessibility, and deferred maintenance issues. Additionally, creating dedicated research space for new programs and partnerships with other faculties.	Program redevelopment will be required in lieu of SIF capital expenditure.	TBD	Re-profiled from an expansion (new build) to a SIF renovation, which will be reviewed in the pending Buildings and Land Information Management System (BLIMS) submission.
Natural Resources Engineering Facility (NREF) <i>Estimated cost - \$38M</i>	Conversion of floors to wet labs, conversion of fume hoods, and base building system upgrades.	On hold pending government financial support.	TBD	Design inputs confirmed.
Science Building <i>Estimated cost - \$21.1M</i>	To address capacity, accessibility, and deferred maintenance issues.	Financial support provided with SIF grant; construction underway.	April 2018	Funding approval permitted design and construction to advance.
Electrical and Computer Engineering Research Facility (ECERF) <i>Estimated cost - \$25M</i>	Convert floors for nano engineering, biomed engineering, and nanobioengineering plus electrical and computer engineering.	Financial support provided with SIF grant; construction underway.	April 2018	Funding approval permitted design and construction to advance.
Mechanical Engineering <i>Estimated cost - \$75M</i>	Higher density development and reduction in deferred maintenance.	On hold pending government financial support.	TBD	Designs assessed.
North Campus - Electrical Utility System Expansion <i>Estimated cost - \$20M</i>	Incorporate addition of future precinct large buildings.	On hold pending government financial support.	TBD	N/A

PRESERVATION PRIORITIES

PROJECT	DESCRIPTION	STATUS	EXPECTED COMPLETION	2016-2017 PROGRESS
Chemical and Materials Engineering Building (CMEB) <i>Estimated cost - \$22.1M</i>	To address capacity, accessibility, and deferred maintenance issues. Additionally, provide wet lab space and address building envelope and operational issues.	Financial support provided with SIF grant; construction underway.	April 2018	Funding approval permitted design and construction to advance.
Turbine Generator 3 <i>Estimated cost - \$89.2M</i>	Install a gas turbine (generator and heat recovery steam boiler) to generate 25 MW of power and 70,000 kg/hr or high pressure steam. Project increases system reliability, reduces GHG emissions, and decreases energy costs.	On hold pending government financial support.	TBD	N/A
Dentistry / Pharmacy <i>Estimated cost - \$270M</i>	To address capacity, accessibility, and deferred maintenance issues. Project restores and reuses a historically significant building allowing for greater administrative efficiencies. Reduces demand for outside leases, frees up space for learning and research priorities, and creates a new front door to our campus.	In Budget 2017 Government committed \$149 million over four years with subsequent confirmation of the remaining \$100 million to come in years five and six of the project.	2024	Initial funding secured and partial demolition commenced.
Medical Science Building <i>Estimated cost - \$30M</i>	To address capacity, accessibility, and deferred maintenance issues.	The SIF grant facilitated select elements of the base building infrastructure to be upgraded, reducing deferred maintenance.	TBD	While the SIF grant allowed for some progress, the need for a significant renewal program remains.
Clinical Science Building <i>Estimated cost - \$11.8M</i>	To address capacity, accessibility, and deferred maintenance issues.	The SIF grant facilitated a major upgrade to central systems.	TBD	While the SIF grant allowed for some progress, the need for significant building envelope and electrical system upgrades remain.
Universiade Pavilion <i>Estimated cost - \$16M</i>	Renewal of building envelope to replace failing tiles markedly improving the building's energy efficiency.	On hold pending government financial support. Continues to be a priority in BLIMS submissions.	TBD	N/A

RENEWAL PRIORITIES

PROJECT	DESCRIPTION	STATUS	EXPECTED COMPLETION	2016-2017 PROGRESS
Chemistry Electrical Vaults <i>Estimated cost - \$11.6M</i>	Switchgear requires replacement to address life safety risk for maintenance activities.	Under review for more economical construction opportunities.	2019	Approved for support under the Infrastructure Maintenance Program (IMP).
Chemical Materials Engineering Building (CMEB) <i>Estimated cost - \$7M</i>	Renewal of elevators, window replacement, and exterior doors.	On hold pending government financial support.	TBD	N/A
Chemistry West <i>Estimated cost - \$4M</i>	To address capacity, accessibility, and deferred maintenance issues.	The SIF grant permitted renewal of the 4th and 5th floors. The 3rd floor commenced as a partner project between the faculty and the institution.	April 2018	Demolition on 4th and 5th floors is complete; moving to rough-in services.
Cameron Library <i>Estimated cost - \$3.6M</i>	Marble exterior panels are falling off.	Project has been profiled for a major upgrade with new technologies enabling significant energy savings and reduced greenhouse gas emissions. On hold pending government financial support. Continues to be a priority in BLIMS submissions.	TBD	N/A
General Elevator Program <i>Estimated cost - \$8.5M</i>	Staged renewal of aged elevator controls, drives and cabs, and single bottom hydraulic cylinder elevators.	Ongoing Infrastructure Maintenance Program (IMP).	N/A	Updated submission in BLIMS.
Agriculture / Forestry Building <i>Estimated cost - \$3.4M</i>	To address capacity, accessibility, and deferred maintenance issues.	Construction of a decant laboratory allowing for renewal of existing laboratories.	N/A	Preparations made for decant to move to construction in the summer of 2017.

OTHER PRIORITY PROJECTS IN PROGRESS

TYPE	DESCRIPTION	EXPECTED COMPLETION	2016-2017 PROGRESS
Residence / academic space	Peter Lougheed Hall (institutionally funded)	June 2017	95% complete
Residence	East Campus Village 9 (institutionally funded)	Sept 2018	20% complete
Residence	Lister Hall Tower 5 (institutionally funded)	Sept 2018	15% complete
Records repository	Research and Collection Resource Facility (RCRF) (institutionally funded)	Sept 2017	90% complete
Infrastructure additions and improvements	Devonian Garden Infrastructure (government funded)	Dec 2018	Design concept completed Consultants retained for construction documentation Roads constructed
Feature garden development	Aga Khan Garden Alberta at the University of Alberta Botanic Garden (government and institutionally funded)	June 2018	Funding solidified Schematic and design development completed Construction design complete Construction progression to 30%
Building Renewal – Strategic Investment Fund (SIF)	Biological Sciences and Earth and Atmospheric Sciences backfill (government and institutionally funded)	April 2018	Progressed to detailed design phase Selective demolition and abatement underway Construction management trade package being prepared for tender
Building Renewal - Strategic Investment Fund (SIF)	Chemical Materials Engineering Building (CMEB) (government funded)	April 2018	Construction drawings complete Tender issuance, demolition activities, construction start up
Building Renewal - Strategic Investment Fund (SIF)	Electrical and Computer Engineering Research Facility (ECERF) (government and institutionally funded)	April 2018	Design development, detailed design, pre-construction planning and interior demolition Tender package issuance
Building Renewal - Strategic Investment Fund (SIF)	Innovation / incubator space (government and institutionally funded)	April 2018	Confirmation of sites to establish program outcomes Plans to include areas in Sciences and Enterprise Square

TYPE	DESCRIPTION	EXPECTED COMPLETION	2016-2017 PROGRESS
Building Renewal - Strategic Investment Fund (SIF)	Campus Saint-Jean lab renewal (government and institutionally funded)	April 2018	Design complete Cabinets, fume hoods, and air handling equipment ordered Project tender complete
Building Renewal - Strategic Investment Fund (SIF)	Chemistry - lab modernization and renewal (government and institutionally funded)	April 2018	Selective demolition and hazardous materials abatement complete Construction for first two Chemistry East teaching labs 80% complete Selective demolition for floors 4 and 5 is 100% complete Design layout for labs complete
Building Renewal - Strategic Investment Fund (SIF)	Clinical Sciences - mechanical system renewal (government and institutionally funded)	April 2018	Design complete Contractor selected and equipment ordered
Building Renewal - Strategic Investment Fund (SIF)	Medical Sciences Building - infrastructure upgrades (government and institutional funded)	April 2018	Plug load work 20% complete Air system upgrade in design phase
Building Renewal	Dentistry-Pharmacy renewal and repurpose (government funded)	Sept 2021	Decant and demolition activities underway Site investigation related to building envelope, structure, and systems continues

CARBON REDUCTION SUCCESSES AND OPPORTUNITIES

The University of Alberta is a leader in wide-spread adoption of energy efficiency practices, building features, and structures. As the most obvious solutions have largely been adopted, attention is being paid to more formidable opportunities.

- Utilities / District Energy System – Endeavouring to incorporate the latest technologies, Utilities is able to realize cost savings through active management of our power production and natural gas purchases, reducing the emissions and operating costs of the university and others relying on us for utilities services.
- Energy Analytics – Employs an Enterprise Energy Information Management System to consolidate, analyse, and normalise various real-time and historical energy related data sources providing energy usage history, benchmarking, recognition of anomalies, dashboard displays, and fault detection and diagnostics.
- *Envision* – An investment of \$35 million over six years will prevent 30,000 tonnes of greenhouse gas emissions resulting in savings of approximately \$4.5 million in annual energy expenditures. In addition to building on energy initiatives such as lighting retrofits, heating, ventilation, and air conditioning, the emphasis is expanding to include water conservation, infrastructure renewal, ancillary facilities, and renewable energy.
- Universiade Pavilion – This nearly 6,000 m² building is experiencing substantial energy loss due to a failing exterior surface. Included in our BLIMS submission, preliminary estimates suggest annual savings of 846 kW of electricity and 670 tonnes of carbon dioxide.
- Cameron Library – Targeted as an opportunity for a unique partnership with student research, initiatives addressing the building envelope; specialized mechanical; photo voltaic and light shelves, could see this iconic facility achieve up to 50 percent improvement in energy efficiency.
- Green Spaces Certification – Integrates sustainable practices into work and living using a series of guides educating on waste reduction, water conservation, and energy efficiency.
- Green Labs – Infrastructure projects making it easier for researchers to maintain environmentally responsible and healthy laboratories.
- Bike Library – Funding support provided to the Students Union to facilitate bicycle lending.
- Staff LRT – Eligible staff may travel between South Campus and Kingsway/Royal Alex for work purposes.
- Plug-In Power Cycling – Electricity to power outlets in campus parking facilities is cycled commensurate with the ambient temperature.

PUBLIC INTEREST DISCLOSURE ACTIVITY

The University of Alberta provides avenues for the safe disclosure of concerns related to discrimination and harassment, fraud and misconduct, financial irregularity, noncompliance in research, and other related issues. Of 131 disclosures received during the 2016-17 fiscal year, none qualified as a public interest disclosure under the Public Interest Disclosure (Whistleblower Protection) Act.

MANAGEMENT'S RESPONSIBILITY FOR REPORTING

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

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

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

Original signed by David H. Turpin
President and Vice Chancellor

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

STATEMENT OF MANAGEMENT RESPONSIBILITY YEAR ENDED MARCH 31, 2017

The consolidated financial statements of the University of Alberta have been prepared by management in accordance with Canadian Public Sector Accounting Standards, and in regards to the net financial assets (net debt) indicator, as directed by the Controller of the Province of Alberta. In that framework, the consolidated financial statements present fairly the financial position of the university as at March 31, 2017 and the results of its operations for the year then ended. The presentation of net financial assets (net debt) includes portfolio investments that are restricted for endowments which cannot be used to pay for liabilities or future expenditures.

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

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

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

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

Original signed by David H. Turpin
President and Vice Chancellor

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

Independent Auditor's Report

To the Board of Governors of the University of Alberta

Report on the Consolidated Financial Statements

I have audited the accompanying consolidated financial statements of the University of Alberta, which comprise the consolidated statement of financial position as at March 31, 2017, and the consolidated statements of operations, change in net financial assets, remeasurement gains and losses, and cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

Management's Responsibility for the Consolidated Financial Statements

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

Auditor's Responsibility

My responsibility is to express an opinion on these consolidated financial statements based on my audit. I conducted my audit in accordance with Canadian generally accepted auditing standards. Those standards require that I comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

In my opinion, the consolidated financial statements present fairly, in all material respects, the financial position of the University of Alberta as at March 31, 2017, and the results of its operations, its remeasurement gains and losses, its changes in net financial assets, and its cash flows for the year then ended in accordance with Canadian public sector accounting standards.

[Original signed by Merwan N. Saher FCPA, FCA]

Auditor General

May 29, 2017

Edmonton, Alberta

CONSOLIDATED FINANCIAL STATEMENTS FOR THE YEAR ENDED MARCH 31, 2017

STATEMENT OF MANAGEMENT RESPONSIBILITY YEAR ENDED MARCH 31, 2017

The consolidated financial statements of the University of Alberta have been prepared by management in accordance with Canadian public sector accounting standards. The consolidated financial statements present fairly the financial position of the university as at March 31, 2017 and the results of its operations, remeasurement gains and losses, changes in net financial assets and cash flows for the year then ended.

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

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

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

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

Original signed by David H. Turpin
President

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

AS AT MARCH 31, 2017 *(thousands of dollars)*

	Note	2017	2016
Financial assets excluding portfolio investments restricted for endowments			
		\$ 18,768	\$ 113,091
Cash and cash equivalents	3	849,115	808,612
Portfolio investments - non-endowment	4	143,216	131,563
Accounts receivable		2,642	3,325
Inventory		1,013,741	956,591
Liabilities			
Accounts payable and accrued liabilities		179,148	174,971
Employee future benefit liabilities	6	251,060	259,100
Debt	7	250,562	246,812
Deferred revenue	8	560,420	509,728
		1,241,190	1,190,611
Net debt excluding portfolio investments restricted for endowments		(227,449)	(234,020)
Portfolio investments - restricted for endowments	4	1,304,254	1,149,716
Net financial assets		1,076,805	915,696
Non-financial assets			
Tangible capital assets	10	2,710,920	2,745,552
Prepaid expenses		7,199	8,517
		2,718,119	2,754,069
Net assets before spent deferred capital contributions		3,794,924	3,669,765
Spent deferred capital contributions	9	1,921,756	1,992,440
Net assets	11	\$ 1,873,168	\$ 1,677,325
Net assets is comprised of:		\$ 1,623,869	\$ 1,540,519
		249,299	136,806
		\$ 1,873,168	\$ 1,677,325

Contingent liabilities and contractual obligations (note 12 and 13)

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

	Note	Budget	2017	2016
Revenue				
Government of Alberta grants	15 \$	969,586	\$ 946,630	\$ 958,157
Federal and other government grants		183,647	208,276	173,483
Student tuition and fees		334,378	319,181	316,795
Sales of services and products		192,433	205,509	196,649
Donations and other grants		133,816	119,451	132,209
Investment income		62,743	68,924	62,678
			1,013,741	1,839,971
Expense				
Learning		1,131,998	1,145,558	1,124,541
Research		476,452	469,436	438,550
Facility operations and maintenance		134,716	140,411	147,282
Ancillary services		95,816	87,489	96,536
		1,838,982	1,842,894	1,806,909
Annual operating surplus				
37,621			25,077	33,062
Endowment contributions		15,450	31,996	20,885
Endowment capitalized investment income	4	-	26,277	8,414
		15,450	58,273	29,299
Annual surplus		53,071	83,350	62,361
Accumulated surplus, beginning of year		1,540,519	1,540,519	1,478,158
Accumulated surplus, end of year	11 \$	1,593,590	\$ 1,623,869	\$ 1,540,519

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

	Budget	2017	2016
Annual surplus	\$ 53,071	\$ 83,350	\$ 62,361
Acquisition of tangible capital assets, net of proceeds on disposals	(217,078)	(142,280)	(149,906)
Amortization of tangible capital assets	176,233	173,556	173,301
Loss on disposal of tangible capital assets	-	3,356	1,131
	(40,845)	34,632	24,526
Change in prepaid expenses	(27)	1,318	1,359
Change in spent deferred capital contributions	(56,232)	(70,684)	(57,823)
Change in remeasurement gains and losses	-	112,493	(73,773)
Decrease) increase in net financial assets	(44,033)	161,109	(43,350)
Net financial assets, beginning of year	915,696	915,696	959,046
Net financial assets, end of year	\$ 871,663	\$ 1,076,805	\$ 915,696

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

	Note	2017	2016
Accumulated remeasurement gains, beginning of year	\$	136,806	\$ 210,579
Unrealized gains (losses) attributable to: Portfolio investments - non-endowment		18,570	(10,696)
Portfolio investments - restricted for endowments		143,173	(27,901)
Amounts reclassified to consolidated statement of operations:			
Portfolio investments - non-endowment		330	(1,160)
Portfolio investments - restricted for endowments		(49,580)	(34,016)
Net change for the year		112,493	(73,773)
Accumulated remeasurement gains, end of year	11 \$	249,299	\$ 136,806

Accumulated remeasurement gains is comprised of:

Portfolio investments - non-endowment	\$	37,091	\$ 18,191
Portfolio investments - restricted for endowments		212,208	118,615
	\$	249,299	\$ 136,806

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

	2017	2016
Operating transactions		
Annual surplus	\$ 83,350	\$ 62,361
Add (deduct) non-cash items:		
Amortization of tangible capital assets	173,556	173,301
Expended capital recognized as revenue	(114,315)	(117,027)
Gain on sale of portfolio investments	(49,251)	(35,176)
Loss on disposal of tangible capital assets	3,356	1,131
(Decrease) increase in employee future benefit liabilities	(8,040)	5,711
Change in non-cash items	5,306	27,940
(Increase) decrease in accounts receivable	(11,653)	10,936
Decrease in inventory	683	292
Increase (decrease) in accounts payable and accrued liabilities	4,177	(47,755)
Increase (decrease) in deferred revenue	50,692	(17,102)
Increase (decrease) in deferred revenue	1,318	1,359
Increase in spent deferred capital contributions, less in kind donations	40,709	41,094
Cash provided by operating transactions	174,582	79,125
Capital transactions		
Acquisition of tangible capital assets, net of proceeds on disposals	(139,358)	(131,796)
Cash applied to capital transactions	(139,358)	(131,796)
Investing transactions		
Purchases of portfolio investments	(385,980)	(378,371)
Proceeds on sale of portfolio investments	352,683	363,742
Cash applied to investing transactions	(33,297)	(14,629)
Financing transactions		
Debt repayment	(13,750)	(13,072)
Debt - new financing	17,500	35,500
Cash provided by financing transactions	3,750	22,428
Increase (decrease) in cash and cash equivalents	5,677	(44,872)
Cash and cash equivalents, beginning of year	13,091	57,963
Cash and cash equivalents, end of year	\$ 18,768	\$ 13,091

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

1. Authority and purpose

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

2. Summary of significant accounting policies and reporting practices

(A) GENERAL – CANADIAN PUBLIC SECTOR ACCOUNTING STANDARDS (PSAS) AND USE OF ESTIMATES

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

(B) VALUATION OF FINANCIAL ASSETS AND LIABILITIES

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

- Portfolio investments - fair value
- Cash and cash equivalents, Accounts receivable, Accounts payable and accrued liabilities, Debt - amortized cost
- Inventory - lower of cost and expected net realizable value

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

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

For financial assets and liabilities measured at amortized cost, the effective interest rate method is used to determine interest revenue or expense. Transaction costs are a component of cost for financial assets and liabilities that are measured at amortized cost and expensed when measured at fair value.

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

(C) REVENUE RECOGNITION

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

Government grants, non-government grants and donations

Government transfers are referred to as government grants.

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

2. Summary of significant accounting policies and reporting practices

(C) REVENUE RECOGNITION

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

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

Grants and donations related to land

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

Endowment donations

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

Investment income

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

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

(D) ENDOWMENTS

Endowments consist of:

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

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

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

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

(E) INVENTORY

Inventory is determined using the weighted average method.

2. Summary of significant accounting policies and reporting practices

(F) TANGIBLE CAPITAL ASSETS

Tangible capital asset acquisitions are recognized at cost, which includes amounts that are directly related, such as design, construction, development, improvement or betterment of the assets, and costs associated with asset retirement obligations. Cost includes overhead directly attributable to construction and development.

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

Buildings and utilities	10 - 40 years
Equipment, furnishings and systems	3 - 10 years
Learning resources	10 years

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

(G) ASSET RETIREMENT OBLIGATIONS

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

(H) EMPLOYEE FUTURE BENEFITS

Pension

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

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

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

Long-term disability

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

Early retirement

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

2. Summary of significant accounting policies and reporting practices**(H) EMPLOYEE FUTURE BENEFITS****Supplementary retirement plans**

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

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

Administrative/professional leave

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

General illness

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

(I) INVESTMENT IN GOVERNMENT PARTNERSHIPS

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

- Northern Alberta Clinical Trials and Research Centre (50% interest) - a joint venture with Alberta Health Services to support the shared missions of Alberta Health Services and the university for collaborative clinical research.
- TEC Edmonton (50% interest) - a joint venture with Edmonton Economic Development Corporation to stimulate entrepreneurialism, advance corporate development and accelerate commercialization of new ideas and technologies that benefit society.

- Tri-University Meson Facility (TRIUMF) (8.33% interest) - a joint venture with eleven other universities to operate a
- sub-atomic physics research facility.
- Western Canadian Universities Marine Sciences Society (20% interest) - provides research infrastructure in the marine sciences for member universities and the world-wide scientific community.

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

(J) EXPENSE BY FUNCTION

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

Learning

Expenses relating to support for the academic functions of the university both directly and indirectly. This function includes expenses incurred by faculties for their scholarly activities and learning administrative services. Other expenses associated with this function include expenses for student awards and bursaries and other programs involving teaching and learning, and community service specifically funded by restricted grants and donations.

Research

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

Facility operations and maintenance

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

2. Summary of significant accounting policies and reporting practices

(J) EXPENSE BY FUNCTION ANCILLARY SERVICES

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

(K) FUTURE ACCOUNTING CHANGES

In March 2015, the Public Sector Accounting Board issued PS 2200 Related party disclosures and PS 3420 Inter-entity transactions. In June 2015, the Public Sector Accounting Board issued PS 3210 Assets, PS 3320 Contingent assets, PS 3380 Contractual rights, and PS 3430 Restructuring transactions. These accounting standards are effective for fiscal years starting on or after April 1, 2017, with the exception of PS 3430, which is effective for fiscal years starting on or after April 1, 2018.

- PS 2200 - Related party disclosures defines a related party and identifies disclosures for related parties and related party transactions, including key management personnel and close family members.
- PS 3420 - Inter-entity transactions, establishes standards on how to account for and report transactions between public sector entities that comprise a government's reporting entity from both a provider and recipient perspective.
- PS 3210 - Assets provides guidance for applying the definition of assets set out in PS 1000, Financial statement concepts, and establishes general disclosure standards for assets.
- PS 3320 - Contingent assets defines and establishes disclosure standards for contingent assets.
- PS 3380 - Contractual rights defines and establishes disclosure standards on contractual rights.
- PS 3430 - Restructuring transactions defines a restructuring transaction and establishes standards for recognizing and measuring assets and liabilities transferred in a restructuring transaction.

Management is currently assessing the impact of these new standards on the consolidated financial statements. The university discloses transactions and balances related to the Government of Alberta in note 15.

3. Cash and cash equivalents

		2017		2016
Cash	\$	3,789	\$	7,097
Money market funds		14,979		5,994
	\$	18,768	\$	13,091

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

4. Portfolio investments

		2017		2016
Portfolio investments - non-endowment	\$	849,115	\$	808,612
Portfolio investments - restricted for endowments		1,304,254		1,149,716
	\$	2,153,369	\$	1,958,328

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

	2017				2016			
	Level 1 ⁽¹⁾	Level 2 ⁽²⁾	Level 3 ⁽³⁾	Total	Level 1	Level 2	Level 3	Total
Cash and money market funds	\$ 25,923	\$ 537,363	\$ 403	\$ 563,689	\$ 24,562	\$ 540,179	\$ 5,636	\$ 570,377
Canadian government and corporate bonds	-	244,609	-	244,609	-	204,620	-	204,620
Canadian equity	374,432	-	25,952	400,384	320,449	-	11,367	331,816
Foreign equity	791,130	-	14,019	805,149	691,047	-	8,749	699,796
Pooled hedge funds	-	52,064	-	52,064	-	70,819	-	70,819
Real estate funds	-	-	80,688	80,688	-	-	74,155	74,155
	1,191,485	834,036	121,062	2,146,583	1,036,058	815,618	99,907	1,951,583
Other at amortized cost				6,786				6,745
	\$ 1,191,485	\$ 834,036	\$ 121,062	\$ 2,153,369	\$ 1,036,058	\$ 815,618	\$ 99,907	\$ 1,958,328

The fair value measurements are those derived from:

⁽¹⁾ Quoted prices in active markets for identical assets.

⁽²⁾ Inputs other than quoted prices included within level 1 that are observable for the assets, either directly (i.e. as prices) or indirectly (i.e. derived from prices).

⁽³⁾ Valuation techniques that include inputs for the assets that are not based on observable market data (unobservable inputs).

As at March 31, 2017, the average effective yields and the terms to maturity are as follows:

- Money market funds: 1.09% (2016 - 0.84%); term to maturity: less than one year.
- Canadian government and corporate bonds: 1.19% (2016 - 0.76%); terms to maturity: range from less than one year to more than 10 years.

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

	2017	2016
Balance, beginning of year	\$ 99,907	\$ 90,019
Unrealized gains	531	4,362
Purchases	35,432	11,151
Proceeds on sale	(14,808)	(5,625)
	\$ 121,062	\$ 99,907

5. Financial risk management

The university is exposed to the following risks:

Market price risk

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

The university assesses its portfolio sensitivity to a percentage increase or decrease in the market prices. The sensitivity rate is determined using the historical annualized standard deviation for the total Unitized Endowment Pool over a four year period as determined by the BNY Mellon Asset Servicing Global Risk Solutions consulting report. At March 31, 2017, if market prices had a 5.2% (2016 - 6.0%) increase or decrease, with all other variables held constant, the increase or decrease in accumulated remeasurement gains for the year would be \$67,821 (2016 - \$68,983).

Foreign currency risk

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

The impact of a change in value of the U.S. dollar is as follows:

Currency		Fair Value	2.5% decrease	1.0% decrease	1.0% increase	2.5% increase
U.S. dollar	U.S. and International Equity	\$ 805,149	\$ 785,020	\$ 797,098	\$ 813,200	\$ 813,200

Credit risk

Counterparty credit risk is the risk of loss arising from the failure of a counterparty, debtor or issuer to fully honor its financial obligations with the university. The university is exposed to credit risk on investments and has established an investment policy with required minimum credit quality standards and issuer limits to manage this risk. The credit risk from accounts receivable is low as the majority of balances are due from government agencies and corporate sponsors.

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

- Money market funds: R-1(high) 59.2% (2016 - 66.9%); R-1(mid) 40.8% (2016 - 33.1%).
- Bonds: AAA 85.3% (2016 - 95.4%); AA 12.5% (2016 - 3.0%); not rated 0.2% (2016 - 1.6%).

Liquidity risk

Liquidity risk is the risk that the university will encounter difficulty in meeting obligations associated with its financial liabilities. The university maintains a portfolio of short-term investments with rolling maturity dates to manage short-term cash requirements. The university maintains a short-term line of credit to ensure that funds are available to meet current and forecasted financial requirements. In 2017, the line of credit was not drawn upon.

Interest rate risk

Interest rate risk is the risk to the university's earnings that will be affected by the fluctuation and degree of volatility in interest rates. This risk is managed by investment policies that limit the term to maturity of certain fixed income instruments that the university holds. Interest rate risk on the university's debt is managed through fixed rate agreements with Alberta Capital Finance Authority (note 7).

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

	< 1 year	1 - 5 years	> 5 years	Average effective market yield
Money market funds	% 100.0	% -	% -	% -
Canadian government and corporate bonds	-	65.4	34.6	1.2

	2017			2016		
	Academic staff	Support staff	Total	Academic staff	Support staff	Total
Universities Academic Pension Plan	\$ 157,557	\$ -	\$ 157,557	\$ 170,670	\$ -	\$ 170,670
Long-term disability	7,211	21,710	28,921	6,048	21,559	27,607
Early retirement	-	26,404	26,404	-	25,964	25,964
SRP (defined contribution)	22,339	-	22,339	18,271	-	18,271
SRP (defined benefit)	9,694	-	9,694	10,380	-	10,380
Administrative/professional leave	3,916	-	3,916			
General illness	1,387	842	2,229			
	\$ 202,104	\$ 48,956	\$ 251,060	\$ 210,901	\$ 48,199	\$ 259,100

(A) DEFINED BENEFIT PLANS ACCOUNTED FOR ON A DEFINED BENEFIT BASIS**Universities Academic Pension Plan (UAPP)**

The UAPP is a multi-employer contributory joint defined benefit pension plan for academic staff members. An actuarial valuation of the UAPP was carried out as at December 31, 2014 and was then extrapolated to March 31, 2017, resulting in a UAPP deficit of \$763,861 (2016 - \$868,735) consisting of a pre-1992 deficit (\$806,430) and a post-1991 surplus (\$42,569). The university's portion of the UAPP deficit has been allocated based on its percentage of the plan's total employer contributions for the year.

The unfunded deficit for service prior to January 1, 1992 is financed by additional contributions of 1.25% (2016 - 1.25%) of salaries by the Government of Alberta. Employees and employers equally share the balance of the contributions of 3.54% (2016 - 3.54%) of salaries required to eliminate the unfunded deficit by December 31, 2043. The Government of Alberta's obligation for the future additional contributions is \$293,557 at March 31, 2017.

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

The university provides long-term disability and general illness defined benefits to its academic and support staff. An actuarial valuation of these benefits was carried out as at March 31, 2017. The long-term disability plan provides pension and non-pension benefits after employment, but before the employee's normal retirement date. The general illness plan provides similar benefits but for a maximum of 26 weeks (academic staff) or 120 days (support staff).

Early retirement

The early retirement benefits for support staff include a bridge benefit (2017 - \$19,511; 2016 - \$19,153) and a retirement allowance (2017 - \$6,893; 2016 - \$6,811). An actuarial valuation of these benefits was carried out as at March 31, 2017. The bridge benefit allows eligible employees who retire early to continue participating in several staff benefit programs between the date of early retirement and the end of the month in which the employee turns 65. Benefits include group life insurance, employee family assistance program, supplementary health care and dental care. The support staff retirement allowance provides eligible employees (those with 20 years of pensionable service at retirement date) one week's base pay per full year of employment to a maximum 25 days pay.

Supplementary retirement plan (SRP)

The university provides a non-contributory defined benefit supplementary retirement benefit to executive. The SRP obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries. An actuarial valuation of these benefits was carried out as at March 31, 2017. The SRP was closed to new members effective June 30, 2014, as part of the approval of the new defined contribution SRP for executives.

Administrative/professional leave (leave)

The university provides for certain executive to accrue a paid leave at the end of their executive appointment. Upon completing their term of service, the individual's salary and benefits in effect at the end of the service are paid for the duration of the leave. The leave obligation is calculated based on assumptions, including inflation, which are prescribed each month by the Canadian Institute of Actuaries, which management has adopted as their best estimate. An actuarial valuation of these benefits was carried out as at March 31, 2017.

(A) DEFINED BENEFIT PLANS ACCOUNTED FOR ON A DEFINED BENEFIT BASIS

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

	2017				2016			
	UAPP	LTD, GI ⁽¹⁾	Early retirement ⁽¹⁾	SRP, leave ⁽¹⁾	UAPP	LTD,GI ⁽¹⁾	Early Retirement ⁽¹⁾	SRP, leave ⁽¹⁾
Expense								
Current service cost	\$ 42,135	\$ 16,393	\$ 1,019	\$ 1,066	\$ 41,758	\$ 12,747	\$ 1,092	\$ 1,139
Interest cost	9,222	1,735	1,055	656	13,169	1,671	1,108	684
Past service cost	-	-	-	-	-	-	-	175
Amortization of actuarial (gains) losses	(2,609)	376	(280)	(455)	3,139	59	(250)	(266)
	\$ 48,748	\$ 18,504	\$ 1,794	\$ 1,267	\$ 58,066	\$ 14,477	\$ 1,950	\$ 1,732
Liability								
Accrued benefit obligation								
Balance, beginning of year	\$ 1,071,971	\$ 30,317	\$ 23,099	\$ 14,326	\$ 1,076,035	\$ 29,634	\$ 22,628	\$ 13,415
Current service cost	42,135	16,393	1,019	1,066	41,758	12,747	1,092	1,140
Interest cost	65,463	1,735	1,055	656	66,708	1,671	1,108	684
Past service cost	-	-	-	-	-	-	-	175
Benefits paid	(46,125)	(16,374)	(1,354)	(2,832)	(48,447)	(15,171)	(1,251)	(608)
Actuarial (gains) losses	14,312	1,695	(4,617)	832	(64,083)	1,436	(478)	(480)
Balance, end of year	1,147,756	33,766	19,202	14,048	1,071,971	30,317	23,099	14,326
Plan assets	(1,030,922)	-	-	-	(929,474)	-	-	-
Plan deficit	116,834	33,766	19,202	14,048	142,497	30,317	23,099	14,326
Unamortized actuarial gains (losses)	40,723	(2,616)	7,202	(438)	28,173	(1,297)	2,865	849
	\$ 157,557	\$ 31,150	\$ 26,404	\$ 13,610	\$ 170,670	\$ 29,020	\$ 25,964	\$ 15,175

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

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

	2017			2016		
	UAPP	SRP, leave	LTD, GI, early retirement	UAPP	SRP, leave	LTD, GI, early retirement
	%	%	%	%	%	%
Accrued benefit obligation						
Discount rate	6.0	4.4	4.4	6.0	4.5	4.5
Long-term average compensation increase	3.0	2.0	2.0	3.0	2.0	3.0
Benefit cost						
Discount rate	6.0	4.5	4.4	6.1	4.8	4.5
Long-term average compensation increase	3.0	2.0	3.0	3.5	2.0	3.0
Alberta inflation (long-term)	2.0	2.2	2.0	2.0	1.8	2.0
Estimated average remaining services life	10.8 yrs	-(1)	1 - 14 yrs	10.8 yrs	-(1)	3 - 11 yrs

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

(B) DEFINED BENEFIT PLAN ACCOUNTED FOR ON A DEFINED CONTRIBUTION BASIS

Public Service Pension Plan (PSPP)

The PSPP is a multi-employer contributory defined benefit pension plan for support staff members. As the university does not have sufficient information to follow the accounting standards for defined benefit plans, it is accounted for on a defined contribution basis. The pension expense recognized in these consolidated financial statements is \$32,769 (2016 - \$32,342).

An actuarial valuation of the PSPP was carried out as at December 31, 2014 and was then extrapolated to December 31, 2016. At December 31, 2016, the PSPP reported an actuarial surplus of \$302,975 (2015 - deficit of \$133,188). For the year ended December 31, 2016 PSPP reported employer contributions of \$350,083 (2015 - \$347,759). For the 2016 calendar year, the university's employer contributions were \$32,256 (2015 calendar year - \$32,342).

(C) DEFINED CONTRIBUTION PLANS SUPPLEMENTARY RETIREMENT PLANS (SRP)

The university provides non-contributory defined contribution supplementary retirement benefits to eligible executive and academic staff members. The expense recognized in these consolidated financial statements is \$4,068 (2016 - \$1,745).

7. Debt

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

	Maturity Date	Interest rate %	2017	2016
Collateral				
Title to land, building	August 2024 - June 2045	3.243 - 6.000	\$ 129,565	\$ 116,184
Cash flows from facility	June 2017 - December 2047	4.814 - 6.250	49,988	53,186
General Security Agreement	December 2028 - June 2034	2.459 - 3.623	50,959	53,350
None	June 2017 - September 2036	2.599 - 8.750	20,050	24,092
Balance, end of year			\$ 250,562	\$ 246,812

The following debt is with Alberta Capital Finance Authority and measured at amortized cost: Interest expense on debt recognized in these consolidated financial statements is \$9,585 (2016 - \$10,137).

Land and buildings pledged as collateral have a net book value of \$239,294 (2016 - \$181,193).

The university has entered into agreements for an additional \$104,700 in debt for fiscal 2018.

Principal and interest payments are as follows:

	Principal	Interest	Total
2018	\$ 13,314	\$ 10,731	\$ 24,045
2019	11,584	10,142	21,726
2020	11,693	9,610	21,303
2021	12,239	9,064	21,303
2022	11,304	8,491	19,795
Thereafter	190,428	74,543	264,971
	\$ 250,562	\$ 122,581	\$ 373,143

8. Deferred revenue

	2017		2016	
	Unspent externally restricted grants and donations	Student tuition and other revenue	Total	Total
Balance, beginning of year	\$ 487,235	\$ 22,493	\$ 509,728	\$ 526,830
Net change for the year				
Grants, donations, endowment spending allocation and tuition	629,274	328,024	957,298	865,700
Transfers to spent deferred capital contributions	(43,631)	-	(43,631)	(59,204)
Recognized as revenue	(538,430)	(324,545)	(862,975)	(823,598)
Net change for the year	47,213	3,479	50,692	(17,102)
Balance, end of year	\$ 534,448	\$ 25,972	\$ 560,420	\$ 509,728

9. Spent deferred capital contributions

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

	2017		2016	
Balance, beginning of year	\$	1,992,440	\$	2,050,263
Net change for the year				
Transfers from unspent externally restricted grants and donations		43,631		59,204
Expended capital recognized as revenue		(114,315)		(117,027)
Net change for the year		(70,684)		(57,823)
Balance, end of year	\$	1,921,756	\$	1,992,440

10. Tangible capital assets

	2017				2016	
	Buildings and utilities	Equipment, furnishings and systems	Learning resources	Land	Total	Total
Cost						
Beginning of year	\$ 3,409,044	\$ 1,327,465	\$ 404,693	\$ 88,783	\$ 5,229,985	\$ 5,088,349
Acquisitions	77,652	42,058	25,001	564	145,275	149,906
Disposals	(1,413)	(37,760)	-	(5,390)	(44,563)	(8,270)
	3,485,283	1,331,763	429,694	83,957	5,330,697	5,229,985
Accumulated amortization						
Beginning of year	1,168,477	1,018,702	297,254	-	2,484,433	2,318,271
Amortization expense	86,635	67,973	18,948	-	173,556	173,301
Disposals	(1,165)	(37,047)	-	-	(38,212)	(7,139)
	1,253,947	1,049,628	316,202	-	2,619,777	2,484,433
Net book value, March 31, 2017	\$ 2,231,336	\$ 282,135	\$ 113,492	\$ 83,957	\$ 2,710,920	\$ 2,745,552
Net book value, March 31, 2016	\$ 2,240,567	\$ 308,763	\$ 107,439	\$ 88,783	\$ 2,745,552	

Included in buildings and utilities is \$107,711 (2016 - \$35,709) recognized as construction in progress, which is not amortized as the assets are not in service.

Acquisitions include in kind donations in the amount of \$2,922 (2016 - \$18,110).

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

11. Net assets

	2017				2016			
	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total	Accumulated deficit from operations	Investment in tangible capital assets	Endowments	Total
Net assets, beginning of year	\$ (23,782)	\$ 551,391	\$ 1,149,716	\$ 1,677,325	\$ (2,187)	\$ 509,431	\$ 1,181,493	\$ 1,688,737
Annual operating surplus	25,077	-	-	25,077	33,062	-	-	33,062
Endowments								
New donations	-	-	31,996	31,996	-	-	20,885	20,885
Capitalized investment income	-	-	26,277	26,277	-	-	8,414	8,414
Transfer to endowments	(2,672)	-	2,672	-	(841)	-	841	-
Tangible capital assets								
Acquisitions	(97,494)	97,494	-	-	(91,917)	91,917	-	-
Debt repayment	(10,551)	10,551	-	-	(10,201)	10,201	-	-
Debt - new financing	15,215	(15,215)	-	-	3,884	(3,884)	-	-
Amortization	59,241	(59,241)	-	-	56,274	(56,274)	-	-
Change in accumulated remeasurement gains	18,900	-	93,593	112,493	(11,856)	-	(61,917)	(73,773)
Net assets, end of year	\$ (16,066)	\$ 584,980	\$ 1,304,254	\$ 1,873,168	\$ (23,782)	\$ 551,391	\$ 1,149,716	\$ 1,677,325
Net assets is comprised of:								
Accumulated surplus	\$ (53,157)	\$ 584,980	\$ 1,092,046	\$ 1,623,869	\$ (41,973)	\$ 551,391	\$ 1,031,101	\$ 1,540,519
Accumulated remeasurement gains	(53,157)	-	212,208	249,299	18,191	-	118,615	136,806
	\$ (16,066)	\$ 584,980	\$ 1,304,254	\$ 1,873,168	\$ (23,782)	\$ 551,391	\$ 1,149,716	\$ 1,677,325

12. Contingent liabilities

(A) The university is a defendant in a number of legal proceedings arising in the normal course of business. While the ultimate outcome and liability of these proceedings cannot be reasonably estimated at this time, the university believes that any settlement will not have a material adverse effect on the financial position or the results of operations of the university. Management has concluded that none of the claims meet the criteria for recognizing a liability.

(B) The university has identified a potential liability related to the existence of asbestos in a number of its facilities. Although not a current health hazard, upon renovation or demolition of these facilities, the university may be required to take appropriate remediation procedures to remove the asbestos. As the university has no legal obligation to remove the asbestos in these facilities as long as the asbestos is contained and does not pose a public health risk, the fair value of the obligation cannot be reasonably estimated due to the indeterminate timing and scope of the removal. The asset retirement obligations for these assets will be recognized in the period in which there is certainty that the renovation or demolition project will proceed and there is sufficient information to estimate fair value of the obligation.

13. Contractual obligations

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

	Capital projects	Service contracts	Long-term leases	Total
2018	\$ 167,750	\$ 75,340	\$ 4,845	\$ 247,935
2019	16,202	36,810	3,646	56,658
2020	4,462	21,910	2,805	29,177
2021	1,937	5,506	1,905	9,348
2022	-	-	1,254	1,254
Thereafter	-	-	4,568	4,568
	\$ 190,351	\$ 139,566	\$ 19,023	\$ 348,940

The significant service contracts are as follows:

- In order to manage its exposure to the volatility in the electrical industry, the university has entered into contracts to fix a portion of its electrical cost. The six contracts (2016 - five contracts) with expenditures totaling \$44,032 (2016 - \$67,552) expire over the next three years.
- Effective August 1, 2015, the university entered into an agreement with an external party for dining and catering services. The agreement has three years remaining with a total estimated cost of \$34,667 (2016 - \$45,067).
- Effective July 1, 2015, the university entered into an agreement for infrastructure management services. The agreement has four years remaining with a cost of \$14,625 (2016 - \$14,809). Effective July 1, 2015, the university entered into an agreement for application management services. The agreement has three months remaining with a cost of \$1,125 (2016 - \$3,761, one year remaining).
- Effective August 1, 2014, the university entered into an agreement with an external party for custodial services. The agreement has four months remaining with a cost of \$3,000 (2016 - \$9,911).

(B) The university is one of 61 members of CURIE, the Canadian Universities Reciprocal Insurance Exchange, a selfinsurance reciprocal established to share the insurable property, liability, and errors and omissions risks of member universities. The projected cost of claims against the exchange is based on actuarial projections and is funded through members' premiums. As at December 31, 2016, CURIE had a surplus of \$84,907 (2015 - \$69,679), of which the university's pro rata share is approximately 7.23% (2016 - 7.19%). This surplus is not recognized in the consolidated financial statements.

14. Budget

The university's 2016-17 budget was approved by the Board of Governors and was presented to the Minister of Advanced Education as part of the university's submission of its 2016-17 Comprehensive Institutional Plan.

15. Government of Alberta grants

	2017	2016
Advanced Education - Campus Alberta grant	\$ 628,276	\$ 607,963
Advanced Education - other grants	128,775	105,907
Health - Academic Alternative Relationship Plans	73,000	75,753
Health - other grants	23,940	65,439
Economic Development and Trade	61,019	-
Alberta Health Services	9,448	9,191
Other departments and agencies	10,725	15,200
	935,183	879,453
Expended capital recognized as revenue	71,351	86,482
Deferred revenue	(59,904)	(7,778)
	\$ 946,630	\$ 958,157
<hr/>		
Accounts Receivable		
Advanced Education	1,984	1,354
Other GOA departments and agencies	20,177	8,254
Other post secondary institutions	1,142	821
	\$ 23,303	\$ 10,429
<hr/>		
Accounts Payable		
Advanced Education	423	1,675
Other GOA departments and agencies	3,441	3,549
Other post secondary institutions	188	1,662
	\$ 4,052	\$ 6,886

The university holds \$6,347 (2016 - \$8,511) on behalf of government agencies.

In fiscal 2017, the four Alberta Innovates corporations (previously under Advanced Education and Health) were placed under Economic Trade and Development.

16. Expense by object

	2017 Budget	2017	2016
Salaries	\$ 930,206	\$ 938,672	\$ 900,113
Employee benefits	188,462	182,949	183,340
Materials, supplies and services	306,371	294,276	305,594
Maintenance and repairs	91,960	95,561	111,398
Scholarships and bursaries	87,105	108,066	89,303
Utilities	58,645	49,814	43,860
Amortization of tangible capital assets	176,233	173,556	173,301
	\$ 1,838,982	\$ 1,842,894	\$ 1,806,909

17. Salaries and employee benefits

	2017						
	Base salary ⁽⁷⁾	Other cash benefits ⁽⁸⁾	Non-cash benefits ⁽⁹⁾	Non-cash benefits (DB SRP) ⁽¹⁰⁾	Non-cash benefits (DC SRP) ⁽¹¹⁾	Non-cash benefits (leave) ^{(12),(13)}	Total
Governance ⁽¹⁾							
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Executive							
President	500	95	48	25	65	91	824
Provost and Vice-President (Academic) ⁽¹³⁾	415	-	41	-	37	-	493
Vice-President (Research)	520	-	7	115	-	104	746
Vice-President (Facilities and Operations) ⁽²⁾	425	5	43	64	13	41	591
Vice-President (Finance and Administration) ⁽²⁾	442	5	44	85	16	46	638
Vice-President (University Relations) ⁽³⁾	313	40	45	50	-	38	486
Vice-President (Advancement)	375	9	42	-	24	33	483

2016

	Base salary ⁽⁷⁾	Other cash benefits ⁽⁸⁾	Non-cash benefits ⁽⁹⁾	Non-cash benefits (DB SRP) ⁽¹⁰⁾	Non-cash benefits (DC SRP) ⁽¹¹⁾	Non-cash benefits (leave) ^{(12),(13)}	Total
Governance ⁽¹⁾							
Board of Governors	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Executive							
President	508	39	89	127	21	104	888
Provost and Vice-President (Academic) ⁽¹³⁾	375	27	37	-	18	-	457
Vice-President (Research)	506	-	42	109	-	125	782
Vice-President (Facilities and Operations) ⁽²⁾	479	-	41	156	-	92	768
Vice-President (Finance and Administration) ⁽²⁾	469	-	32	131	-	40	672
Vice-President (University Relations) ⁽³⁾	375	9	41	89	-	208	722
Vice-President (Advancement)	374	11	42	-	7	16	450

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

⁽²⁾ In 2017, two individuals held this position.

⁽³⁾ In 2017, two individuals held this position. The interim Vice-President (University Relations) did not participate in any executive benefit programs.

⁽⁴⁾ In 2016, two individuals held this position.

⁽⁵⁾ In 2016, two individuals held this position. The interim Provost and Vice-President (Academic) did not participate in any executive benefit programs.

⁽⁶⁾ In 2016, two individuals held this position. The interim Vice-President (Advancement) did not participate in any executive benefit programs.

⁽⁷⁾ Base salary includes pensionable base pay for all executive. Certain base salary amounts also include a retroactive salary settlement and a reduction for the optional personal leave program (days off without pay).

⁽⁸⁾ Other cash benefits include market supplements, academic executive allowances, car allowances, mobile device allowances and honoraria.

⁽⁹⁾ Non cash benefits include the university's share of all employee benefits and contributions or payments made on behalf of employees including pension, group life insurance, employee and family assistance program, critical illness, supplementary health care, short and long term disability plans, and dental plan. Benefits for some of the executive also include parking, supplemental life insurance, forgivable housing loans, reimbursement for legal fees and club dues. Additional non cash benefits for the former President include expenses related to the personal use portion of the residence which the former President rented from the university.

⁽¹⁰⁾ Under the terms of the Defined Benefit Supplementary Retirement Plan (DB SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total estimated cost to provide supplementary retirement benefits. The DB SRP provides future benefits to participants based on years of service and earnings. The cost of these benefits is actuarially determined using the projected benefit method pro rated on service, a market interest rate, and other assumptions included in the Canadian Institute of Actuaries' lump sum commuted value standard. Net actuarial gains and losses of the benefit obligations are amortized over the remaining terms of the participants' contracts. Current service cost is the actuarial present value of the benefits earned in the current year. The DB SRP was closed to new members effective June 30, 2014.

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

	2016			2017		
	Years of eligible University of Alberta service	Accrued obligation	Service costs	Interest and other costs	Actuarial (gain) loss	Accrued obligation ^(10e)
President ^(10a)	1.8	\$ 18	\$ 24	\$ 1	\$ (13)	\$ 30
Vice-President (Research)	9.8	812	93	22	44	971
Former Vice-President (Facilities and Operations) ^(10b)	14.1	1,260	40	24	-	1,324
Former Vice-President (Finance and Administration) ^(10c)	14.9	1,236	51	34	-	1,321
Former Vice-President (University Relations) ^(10d)	6.3	443	39	11	209	702

^(10a) The DB SRP was closed to new members effective June 30, 2014. However, a portion of the supplementary retirement benefit for the current President is calculated on a defined benefit basis, and the liability will be disclosed on this basis as service is provided.

^(10b) Includes service to August 31, 2016 and the accrued obligation shown is at August 31, 2016.

^(10c) Includes service to October 31, 2016 and the accrued obligation shown is at October 31, 2016.

^(10d) Includes service to September 30, 2016, amount to be paid out in fiscal 2018.

^(10e) The significant actuarial assumptions used to measure the accrued obligation are disclosed in (note 6).

⁽¹¹⁾ Under the terms of the executive Defined Contribution Supplementary Retirement Plan (DC SRP), the executive may receive supplemental payments. Retirement arrangement costs as detailed below are not cash payments in the period but are period expenses for the rights to future compensation. Costs shown reflect the total cost to provide supplementary retirement benefits. The DC SRP provides future benefits to participants based on the value of the contributions at the end of their service. The cost of these benefits is calculated based on pensionable salary multiplied by a factor based on age and service. The DC SRP was introduced effective July 1, 2014, for all executives commencing employment on or after that date.

	2016			2017		
	Years of eligible University of Alberta service	Amounts due to participants	Service costs	Interest and investment earnings ^(11a)	Amounts due to participants	
President ^(10a)	1.8	\$ 21	\$ 61	\$ 4	\$ 86	
Provost and Vice-President (Academic)	1.8	18	35	2	55	
Vice-President (Facilities and Operations)	0.6	-	13	-	13	
Vice-President (Finance and Administration)	0.4	-	16	-	16	
Vice-President (Advancement)	1.5	7	23	1	31	

^(11a) Contributions are made on an annual basis at the end of the plan [calendar] year. Interest is paid in lieu of contributions being made every month. Investment earnings are distributed to each plan participant based on the overall return of the plan's investments.

17. Salaries and employee benefits

⁽¹²⁾ The leave plan current service cost and accrued obligation is as follows:

	2016			2017		
	Years of eligible University of Alberta service	Accrued obligation	Service costs	Interest and other costs	Actuarial losses (gains)	Accrued obligation ^(12c)
President	1.8	\$ 65	\$ 87	\$ 4	\$ 3	\$ 159
Vice-President (Research)	9.8	903	103	1	40	1,047
Vice-President (Facilities and Operations)	0.6	-	18	1	-	19
Former Vice-President (Facilities and Operations) ^(12a)	13.0	1,219	-	22	-	1,241
Vice-President (Finance and Administration)	0.4	-	14	1	-	15
Former Vice-President (Finance and Administration) ^(12b)	13.0	1,211	-	31	-	1,242
Former Vice-President (University Relations)	6.3	210	37	1	(248)	-
Vice-President (Advancement)	1.5	16	32	1	1	50

^(12a) Includes service to August 31, 2016 and the accrued obligation shown is at August 31, 2016.

^(12b) Includes service to October 31, 2016 and the accrued obligation shown is at October 31, 2016.

^(12c) The significant actuarial assumptions used to measure the accrued obligation are disclosed in (note 6).

⁽¹³⁾ The Provost and Vice-President (Academic) participates in the administrative leave program available to faculty members in eligible administrative positions. Under that administrative leave program, an individual must apply for and receive approval for a leave; therefore, there is no leave accrual.

18. Approval of financial statements

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

19. Comparative figures

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

APPENDIX A: ENROLMENT TABLE

ANNUAL REPORT 2016-17

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GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Agric, Life &
Environ Sciences

Undergraduate

Degree

Bachelor of Arts in Environmental Studies

Bachelor of Science in Agricultural/Food Business Management

Bachelor of Science in Agriculture

Bachelor of Science in Animal Health

Bachelor of Science in Environmental and Conservation Sciences

Bachelor of Science in Forest Business Management

Bachelor of Science in Forestry

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
	1312.35	1237.859	1245.707	1261.998	1227
Environmental Studies	20.6	21.1	27.1	29.8	
Agricultural Business Management	33.487	32.781	33	24.581	
Agricultural/Food Business Management	0	0	3.4	4.763	
Food Business Management	15.362	12.275	14.3	13.4	
Agriculture	22.813	19.417	18.991	23.102	
Agriculture and Resource Economics	26.802	25.625	22.627	22.932	
Animal Science	67.402	55.094	59.314	66.015	
Crop and Horticultural Science	26.263	28.082	27.656	0	
Crop Science	0	0	0	30.859	
Range and Pasture Management	1.2	0.4	0	0	
Sustainable Agricultural Systems	16.975	14.281	15.838	17.138	
Companion Animal Health	138.9	112.4	115.7	128.8	
Food Animal Health	25.7	20.4	15.3	19.3	
Food Safety and Quality	2.2	1.4	3.3	1.3	
Conservation Biology	123.626	114.002	119.776	124.844	
Environmental and Conservation Sciences	1.9	2.319	1.426	3.32	
Environmental Economics and Policy	46.522	44.752	35.281	27.731	
Human Dimensions of Environmental Management	23.319	20.925	20.625	15.913	
Land Reclamation	92.151	103.481	106.082	96.062	
Northern Systems	0.8	6.4	13.6	13	
Wildlife and Rangeland Conservation	11.137	12.788	11.913	12.182	
Forest Business Management	6.406	3.8	7.006	6.259	
Forest Management	36.264	2.591	0	0	
Forest Resources	0.288	0	0	0	
Forestry	0.739	37.348	51.345	54.513	

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GOA INFORMATION

FACULTY

CAREER LEVEL GROUP

GOA CREDENTIAL

GOA PROGRAM

FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Bachelor of Science in Human Ecology
			Bachelor of Science in Nutrition and Food Sciences
			Combined Bachelor of Science in Human Ecology/Bachelor of Education
			Combined BSc in Environmental and Conservation Sciences/Bachelor of Arts in Native Studies
Agric, Life & Environ Sciences	Masters & Other GS	Degree	Master of Agriculture
			Master of Arts
			Master of Engineering
			Master of Forestry
			Master of Science
Agric, Life & Environ Sciences	PhD	Degree	Doctor of Philosophy

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Clothing, Textiles and Material Culture	63.407	60.433	52.825	46.314	
Family Ecology	75.864	80.644	76.951	94.678	
Human Ecology	5.101	3.076	5.256	3.17	
Dietetics	0	0	0	32.7	
Food Science and Technology	46.125	48.626	35.5	27.8	
Nutrition	115.137	111.755	113.643	74.105	
Nutrition and Food	252.753	224.401	116.517	65.978	
Nutrition and Food Science	0.6	1.069	104.428	173.857	
Car and Tech Studies:Human Ecology	8.863	12.225	11.969	3.5	
Human Dimensions in Environmental Management	3.644	3.969	5.038	4.082	
	390.597	425.31	445.234	461.817	225
Agricultural, Food, and Nutritional Science	0	0	0	0.476	
Renewable Resources	1.286	1.43	0.572	0.858	
Rural Economy	0.143	1.859	2.716	1.001	
Human Ecology	7.39	11.388	10.218	13.722	
Agricultural, Food, and Nutritional Science	0.858	0.905	0.905	0.572	
Renewable Resources	11.911	9.812	5.716	10.578	
Agricultural, Food, and Nutritional Science	154.817	172.972	193.619	186.618	
Human Ecology	21.942	15.494	15.946	20.169	
Renewable Resources	123.095	147.801	158.229	172.672	
Rural Economy	69.155	63.649	57.313	55.151	
	286.988	335.454	369.024	370.14	215
Agricultural, Food, and Nutritional Science	167.546	200.809	234.724	234.153	

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GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Arts

Undergraduate

Degree

Bachelor of Arts

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Human Ecology	19.944	21.552	22.94	20.91	
Renewable Resources	73.666	92.928	92.032	95.752	
Rural Economy	25.832	20.165	19.328	19.325	
	5011.088	4804.379	4764.729	4733.726	4871
Ancient and Medieval History	9.6	7.8	4.7	7.3	
Anthropology	137.35	138.2	118.8	103.9	
Art and Design	152.3	145.55	121.5	108.1	
Art History	27.1	17.5	21	15.3	
Arts General	784	766.7	846.402	845.02	
Chinese Language and Literature	6.5	8.1	7.4	4.7	
Classics	36.6	33	24	20.5	
Classics/Greek/Latin Combination	1.7	2.6	1	2.6	
Combined Chinese/Japanese	9.8	6.5	3	1.7	
Combined French/Italian	1.8	0	0	0	
Combined French/Spanish	14.9	11.8	7.3	4.6	
Combined German/Scandinavian	0.8	1	0	0	
Combined Italian/Spanish	1.2	0	0	0	
Combined Polish/Russian	0.4	0.9	0	0	
Combined Russian/Ukrainian	0.2	0.1	0	0	
Comparative Literature	9	6.9	6.9	9.6	
Drama	87.2	68.4	60.3	82.733	
East Asian Languages and Literature	0.6	1.8	21.2	7.6	
East Asian Studies	28.4	24.8	46.302	65.3	
Economics	975.701	969.8	866.6	734.454	
English	275.751	241.3	220.5	219.3	
Film and Media Studies	28.6	22.1	22.6	23.2	
French Language and Literature	25.4	23.2	27.2	29.4	
German Language and Literature	20	21	18.9	19.666	
History	169.9	144.4	141.75	147	
Human Geography	41.6	54.1	68.4	76.15	
Italian Studies	1.3	0	0	0	
Japanese Language and Literature	35.8	30.4	0	0	
Latin American Studies	3.8	7.5	5.4	3.6	
Linguistics	105.05	109.85	107.65	105.533	
Mathematics (Arts)	33.6	37	40.2	67.2	
Middle Eastern and African Studies	3	2.2	1.1	0	

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GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Bachelor of Arts in Criminology

Bachelor of Arts in Drama/Bachelor of Education Secondary

Bachelor of Arts in Environmental Studies

Bachelor of Design

Bachelor of Fine Arts in Art and Design

Bachelor of Fine Arts in Drama

Bachelor of Music

GOA SPECIALIZATION	TARGETS			
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE
Music	21.7	18.9	19.8	24.75
Philosophy	63.2	54.9	56.5	57.8
Planning	29.4	41.6	53.3	45.1
Political Science	388.855	337.383	369.5	373.666
Psychology (Arts)	716.05	696.687	686	716.85
Religious Studies	12	11.9	8.8	11.2
Romance Languages	3.3	4.4	0.5	0
Russian Language and Literature	2.1	1.8	0	0
Scandinavian Language and Literature	2.3	2.7	6.2	3.8
Sociology	303.451	284.3	286.6	295.7
Spanish Language and Literature	15.3	18.6	21.2	17.8
Ukrainian Folklore	0.3	0	0	0
Ukrainian Language and Literature	0.6	0.9	0.5	0
Women's and Gender Studies	21.3	19.7	28.7	37.05
Women's History	0	0	0	0
Criminology	42.9	44.5	41.9	40.9
Drama	29.3	31.804	35.15	32.2
Environmental Studies	7.8	6.2	5.6	7.9
Business/Marketing Route	20.232	24.221	30.966	37.539
Computing Science Route	1.528	1.891	0.8	0.6
Design Engineering Route	11.285	10.06	12.614	20.376
Design General Route	69.582	66.569	62.828	63.191
Printmaking Route	2.6	2.2	1.419	0
Social Sciences Route	6.003	5.3	8.4	8.847
Art and Design	66.2	69.4	71	81.1
Acting	34.04	33.025	34.707	33.984
Technical Theatre	26.146	29.84	28.061	29.019
Theatre Design	12.413	11.053	9.637	13.17
Composition and Theory	3.093	1.728	1.091	1.183
General Route	29.003	36.78	34.142	39.597
Music History	1	0.909	0	0
Performance	19.008	10.683	16.004	14.367

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM

			Combined Bachelor of Music/Bachelor of Education
Arts	Masters & Other GS	Degree	Combined Master of Arts/Master of Library Information Studies
			Master of Arts
			Master of Arts in Humanities Computing
			Master of Design
			Master of Fine Arts

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
School Music	0	0	0	0	
Music	13.393	18.746	22.706	21.581	
Music and Secondary Education	6.754	1.2	0	0	
	474.437	454.391	438.717	462.021	393
Humanities Computing	8.6	10.501	11.566	10.3	
Anthropology	27.326	26.325	24.659	34.989	
Art and Design	12.167	10.165	14.497	12.996	
Comparative Literature Program	5.335	3.332	2.332	0.666	
Drama	11.337	10.331	8.669	7.499	
East Asian Studies	25.992	24.492	21.993	23.495	
Economics	43.52	54.523	55.861	52.687	
English and Film Studies	35.164	38.996	26.163	25.496	
Gender and Social Justice Studies	0	0	0	8.002	
History and Classics	43.668	41.557	33.777	37.224	
Linguistics	0	0	0.667	1.5	
Modern Languages and Cultural Studies	32.5	23.662	24.664	22.495	
Music	14.333	16.494	13.328	5.832	
Philosophy	18.666	11.499	15.165	22.495	
Political Science	28.836	32.002	25.666	25.497	
Psychology	10.273	9.33	6.831	5.498	
Religious Studies Program	11.167	10.166	9.998	5.998	
Sociology	21.669	21.663	21.66	24.83	
Anthropolgy	0	0	1	1.666	
English and Film Studies	0	0	0.5	0	
Humanities Computing	4.665	4.332	2.333	2	
Interdisciplinary Studies	24.999	28.329	31.656	32.491	
Library and Information Studies	0	0	1	3.666	
Modern Languages and Cultural Studies	1.666	0.667	0	0	
Religious Studies Program	0	0	1.167	1.833	
Sociology	0	0	0	1	
Art and Design	15.627	12.381	9.625	11.75	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM

			Master of Music
			Master of Science
Arts	PhD	Degree	Doctor of Music
			Doctor of Philosophy
Augustana Faculty	Undergraduate	Degree	Bachelor of Arts (Augustana Faculty)

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Art and Design	19.127	18.878	18.625	16.125	
Drama	16.626	15.626	17.792	15.875	
Music	18.01	11.48	14.529	19.622	
Linguistics	8.832	3.499	7.332	10.332	
Psychology	14.332	14.161	15.662	18.162	
	553.779	561.817	579.445	609.445	449
Music	23.997	23.16	23.771	23.825	
Anthropology	31.995	35.826	37.156	40.319	
Art and Design (Dept)	2	4.832	6.998	6.664	
Comparative Literature Program	29.164	23.331	16.661	15.495	
Drama	2.667	3.332	6.333	7.998	
Economics	27.994	26.995	29.66	29.492	
English and Film Studies	87.163	87.652	97.809	110.633	
History and Classics	48.829	49.211	50.931	56.596	
Linguistics	33.666	33.662	32.159	34.491	
Modern Languages and Cultural Studies	45.663	50.324	53.487	49.317	
Music	13.22	16.997	22.994	25.327	
Philosophy	25.169	23.497	24.164	26.992	
Political Science	57.327	58.154	49.653	48.486	
Psychology	42.216	43.995	48.152	50.648	
Religious Studies	18.165	19.33	12.664	17.33	
Sociology	64.544	61.519	66.853	65.832	
	895.023	927.487	896.365	915.812	899
Art	19.198	18.798	23.199	27.666	
Arts General	46.481	67.629	61.03	51.982	
Biology	4.5	7	7.882	5.533	
Chemistry	0	0.433	1.4	1.5	
Drama	13.465	12.932	8.149	14.899	
Economics	9.349	13.518	13.933	13.65	
English	31.016	25.2	25.666	23.099	
Environmental Studies	13.533	18.698	16.232	18.033	

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FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Bachelor of Management in Business Economics (Augustana Faculty)

Bachelor of Music (Augustana Faculty)

Bachelor of Science (Augustana Faculty)

Business

Undergraduate

Degree

Bachelor of Commerce

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
History	27.998	26.831	20.733	22.132	
Mathematics and Physics	2.7	1.3	1.8	1.2	
Modern Languages	5.483	4.7	3	6.034	
Music	6.766	4.981	10.683	8.816	
Philosophy and Religion	4.266	2.1	4.6	6	
Physical Education	74.152	61.978	54.209	63.893	
Political Studies	13.9	15.349	13.349	16.366	
Psychology	58.147	59.381	53.862	79.748	
Sociology	18.716	20.633	16.599	16.233	
Bachelor of Management in Business Economics	118.026	133.242	115.827	106.399	
Comprehensive	6.975	4.751	2.565	4.027	
Piano	3.953	3.625	2.917	3.044	
Voice	8.454	7.661	8.025	8.442	
Biology	131.862	124.842	105.145	110.893	
Chemistry	35.799	38.866	43.081	40.148	
Computing Science	25.449	23.533	23.482	27.631	
Environmental Science	43.064	40.982	43.132	40.701	
Mathematics and Physics	28.265	23.882	19.298	21.665	
Physical Education	84.558	103.774	124.869	115.797	
Psychology	20.633	25.385	27.916	25.865	
Science General	38.315	35.483	43.782	34.416	
	1813.401	1770.6	1743.2	1740.766	1786
Accounting	654.45	618.55	574.5	563.75	
Business	94.3	93.5	84.55	79.9	
Business Economics and Law	125.3	131.4	121.95	117.083	
Business Studies	25.6	24.35	25.6	29.3	
Decision and Information Systems	0	0	0	0	
East Asian Business Studies	7.9	5.2	2.3	3	
European Business Studies	4.3	4	1	1.2	
Finance	461.15	449.1	469.4	480.1	
Human Resource Management	86.801	91.1	93.5	80.7	
International Business	42.3	39.5	41.35	33.6	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM

Business	Masters & Other GS	Degree	Combined Master of Business Administration/Juris Doctor			
			Combined Master of Business Administration/Master of Agriculture			
			Combined Master of Business Administration/Master of Engineering			
			Combined Master of Business Administration/Master of Forestry			
			Doctor of Philosophy			
			Executive Master of Business Administration			
			Master of Business Administration			
			Master of Financial Management			
			Certificate	Post Master's Certificate		
			Business	PhD	Degree	Doctor of Philosophy
			Education	Undergraduate	Degree	Bachelor of Arts in Drama/Bachelor of Education Secondary

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Latin American Business Studies	0	1	1.4	0	
Management Information Systems	39.1	45.4	49.15	63.3	
Management Science	0	0	1	0.5	
Marketing	175.3	163	156.6	166.483	
Operations Management	27	37.5	59.9	63.6	
Retailing and Service	3.5	3.1	1.5	1.4	
Strategic Management and Organization	66.4	63.9	59.5	56.85	
	485.417	513.444	511.296	530.04	234
Business-MBA	4.612	3.1	4.102	3.108	
Business-MBA	1.004	1	0.1	0	
Business-MBA	8.278	4.5	0.717	0.4	
Business-MBA	0.3	0.4	0	0	
Business PhD	72.273	66.491	65.259	72.643	
Business-MBA	62.172	73.153	73.473	66.952	
Business-MBA	241.876	252.2	229.017	244.897	
FastTrack MBA	27.439	28.199	42.878	43.962	
Financial Management	67.463	84.401	95.75	97.078	
Innovation and Entrepreneurship	0	0	0	1	
	72.273	66.491	65.259	72.643	60
Business PhD	72.273	66.491	65.259	72.643	
	2817.004	2422.042	2443.639	2582.944	2551

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GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Bachelor of Education Elementary

Bachelor of Education Secondary

Combined Bachelor of Education (Elementary)/Bachelor of Arts in Native Studies

Combined Bachelor of Education (Secondary)/Bachelor of Arts in Native Studies

Combined Bachelor of Education Elementary/Bachelor of Physical Education

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Drama	0	0	6.2	9.4	
Drama Education	10.9	12	1.6	0	
Elementary Education	1412.854	1189.25	1157.8	1162.616	
Art	42.5	39.7	51.9	58.2	
Biological Sciences Education	130.95	139.5	154.8	180.55	
Chemistry Education	32.9	31.65	44.8	54.1	
CTS: Business, Administration and Finance	2.8	0.9	1.4	2.7	
CTS: Computer Science	33.25	24.15	22.4	38.5	
CTS: Human Sciences	42.05	38.05	44.2	57.1	
Drama Education	32.2	31.65	34.2	31.9	
English Language Arts	231.75	203.4	221.5	226.25	
General Science	34.85	25.7	39.9	51.2	
Mathematics Education	92.567	102.3	118.3	134	
Music Education	27.5	20.954	21.4	26.9	
Physical Education	58.25	35.45	36.05	52.9	
Physical Sciences Education	12.1	4.2	9.5	17.3	
Physics Education	29.35	23.6	32.3	35.1	
Second Language - Cree	0	0.9	1.7	1.1	
Second Language - French	32.5	27.6	29.3	33.8	
Second Language - German	4.7	4.4	4.3	4.8	
Second Language - Italian	0.4	1.7	0.4	1.4	
Second Language - Japanese	4.65	5	8.3	8.2	
Second Language - Spanish	22.1	24.9	21.6	26.5	
Second Language - Ukrainian	1.6	2	1.2	0	
Second Languages - Other	3.7	4.5	3.4	2.4	
Social Studies	367	281.15	253.95	257	
Elementary Education	1.1	1.5	0.9	0.9	
Native Studies	0	0	1.2	0.9	
Native Studies and Elementary Education	1.1	0.6	0.6	1.6	
Art	0	0	0	0.6	
Physical Education	0.7	0.6	0	0	
Social Studies	1	1	4.1	2.7	
Generalist	0	0	2.865	4.4	
Physical Educ and Elementary Educ	13	12.8	6.355	0	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Combined Bachelor of Education Secondary/Bachelor of Physical Education
			Combined Bachelor of Education/Bachelor of Music
			Combined Bachelor of Education/Bachelor of Science
			Combined Bachelor of Education/Bachelor of Science in Human Ecology
		Diploma	Diploma in Education
Education	Masters & Other GS	Degree	Master of Education
			Master of Library & Information Studies (Crse)
		Diploma	Postgraduate Diploma
Education	PhD	Degree	

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Physical Education and Health	85.5	79.4	64.921	47.9	
Music	6.2	1.2	5.9	4	
Music and Secondary Education	0.8	5.8	0.5	0	
Music Education	1.683	2.638	2.365	2.928	
Biological Sciences Education	19.5	17.8	3.6	4.8	
Chemistry Education	0	0	0	1	
Mathematical Sciences Education	8.1	5	1.1	1	
Physical Sciences Education	1.2	3.7	0.8	2.8	
Science & Education - Secondary Rt	0	0	19.133	15.3	
Career and Technology Studies: Human Ecology	9.9	7.5	2.1	6	
Human Ecology and Education	0	0.9	0	0.9	
Human Ecology Concentration	0	0	0.8	1	
Educational Psychology	3.1	4	1.6	1.9	
Elementary Education	0.1	0.1	0.1	3.4	
Secondary Education	0.6	2.9	2.3	5	
	430.772	445.045	461.186	453.571	450
Educational Policy Studies	76.454	76.647	51.191	53.762	
Educational Psychology	104.909	98.368	94.83	96.23	
Educational Studies	47.333	60.06	75.504	63.778	
Elementary Education	65.284	54.077	49.36	49.662	
Health Sciences Education	8.437	12.85	15.423	15.14	
Secondary Education	29.884	31.601	34.889	32.17	
Library and Information Studies	98.042	111.156	139.703	142.829	
Educational Policy Studies	0.429	0.286	0.286	0	
	334.475	366.667	354.194	355.188	308

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Doctor of Education
			Doctor of Philosophy
Engineering	Undergraduate	Degree	Bachelor of Science in Chemical Engineering
			Bachelor of Science in Chemical Engineering - Process Control
			Bachelor of Science in Chemical Engineering Co-op
			Bachelor of Science in Chemical Engineering-Process Control Co-op
			Bachelor of Science in Civil Engineering
			Bachelor of Science in Civil Engineering - Co-op
			Bachelor of Science in Civil Engineering - Environmental Engineering
			Bachelor of Science in Civil Engineering - Environmental Engineering Co-op
			Bachelor of Science in Computer Engineering
			Bachelor of Science in Computer Engineering - Software Engineering
			Bachelor of Science in Computer Engineering Co-op
			Bachelor of Science in Computer Engineering-Software Co-op
			Bachelor of Science in Electrical Engineering

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Educational Policy Studies	5.171	4.167	3.668	3.668	
Elementary Education	0	0	0	1.333	
Secondary Education	12	15.498	15.163	13.996	
Educational Policy Studies	68.001	72.992	74.485	74.817	
Educational Psychology	126.811	139.367	130.077	144.079	
Elementary Education	42.334	45.492	47.821	37.487	
Secondary Education	80.158	89.151	82.98	79.808	
	4006.381	4225.438	4205.76	4096.999	4340
Chemical Engineering	153.985	186.322	225.916	208.904	
Chemical Engineering - Process Control	34.864	30.473	30.231	30.92	
Chemical Engineering Co-op	287.331	317.555	337.12	289.355	
Chemical Engineering - Process Control Co-op	53.333	34.085	33.67	27.134	
Civil Engineering	171.146	184.206	185.417	200.215	
Civil Engineering Co-op	275.656	317.48	343.618	341.548	
Environmental Engineering	53.619	55.046	56.205	61.182	
Environmental Engineering Co-op	50.328	47.699	52.662	57.091	
Computer Engineering	61.467	63.658	60.022	74.728	
Computer Engineering - Software Engineering	4.016	6.267	4.504	3.113	
Computer Engineering Co-op	48.701	52.186	56.912	60.087	
Computer Engineering - Software Engineering Co-op	49.108	50.564	53.384	69.563	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Bachelor of Science in Electrical Engineering - Co-op
			Bachelor of Science in Engineering
			Bachelor of Science in Engineering Physics
			Bachelor of Science in Materials Engineering
			Bachelor of Science in Materials Engineering Co-op
			Bachelor of Science in Mechanical Engineering
			Bachelor of Science in Mechanical Engineering Co-op
			Bachelor of Science in Mining Engineering
			Bachelor of Science in Mining Engineering Co-op
			Bachelor of Science in Petroleum Engineering
			Bachelor of Science in Petroleum Engineering Co-op
Engineering	Masters & Other GS		
		Degree	
			Master of Engineering
			Master of Science
Engineering	PhD		
		Degree	
			Doctor of Philosophy

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Electrical Engineering	280.226	263.823	248.544	242.818	
Electrical Engineering Co-op	152.963	155.111	157.932	171.599	
Engineering General	1048	1065.352	907.188	837.061	
Engineering Physics	60.028	47.73	48.794	61.003	
Materials Engineering	82.697	87.343	80.062	49.648	
Materials Engineering Co-op	71.951	71.564	70.212	69.616	
Mechanical Engineering	310.664	342.578	348.94	345.267	
Mechanical Engineering Co-op	374.476	429.543	512.894	563.281	
Mining Engineering	38.228	18.829	2.083	14.842	
Mining Engineering Co-op	157.694	189.458	180.73	157.401	
Petroleum Engineering	110.242	114.152	120.189	95.875	
Petroleum Engineering Co-op	75.658	94.414	88.531	64.748	
	858.836	849.237	868.041	995.11	708
Chemical and Materials Engineering	14.241	8.503	2.905	13.762	
Civil and Environmental Engineering	58.003	28.358	9.105	67.005	
Electrical and Computer Engineering	14.369	8.937	4.886	20.837	
Mechanical Engineering	16.577	6.173	3.075	8.409	
Chemical and Materials Engineering	228.305	230.765	221.153	210.597	
Civil and Environmental Engineering	240.296	250.528	293.035	294.824	
Electrical and Computer Engineering	143.221	145.963	150.706	160.531	
Mechanical Engineering	143.824	170.01	183.176	219.145	
	873.575	968.517	1032.237	1075.731	612

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
Extension	Masters & Other GS	Degree	Master of Arts
		Certificate	Post-Baccalaureate Certificate
Faculté Saint-Jean	Undergraduate	Degree	Bacc en sciences de l'environnement et de la conservation/BSc in Environmental and Conservation
			Baccalaureat bilingue en Administration des affaires/Bilingual Bachelor of Commerce
			Baccalaureat en Education Elementaire
			Baccalaureat en Education Secondaire

GOA SPECIALIZATION					TARGETS
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Chemical and Materials Engineering	202.584	230.566	252.531	259.741	
Civil and Environmental Engineering	279.36	314.8	322.155	337.338	
Electrical and Computer Engineering	256.859	277.707	303.097	316.425	
Mechanical Engineering	134.772	145.444	154.454	162.227	
	31.751	33.625	32.879	45.596	30
Communications and Technology	31.751	33.625	32.879	45.596	
Teaching and Learning in Higher Education	0	0	0	0	
	497.426	504.905	488.628	523.378	514
Sci					
Economie et politique environnement	1	0	0	0	
Environmental and Conservation Science	1	1.5	0.9	0	
La biologie de la conservation	2.1	4	3	1.6	
Rehab des ressources naturelles	3.6	6.8	4.4	0.6	
Accounting	2.6	1.455	1.664	0.363	
Business Bilingual	0.182	2.31	1.782	0.891	
Business Economics and Law	1.091	0.682	0	0.9	
Etudes d'admin des affaires	0	0.8	0	0	
Finance	0	0	0	0	
Finances	2.6	3.3	3.882	3.191	
Gestion des ressources humaines	1.5	0.4	0	0	
International Business	4	2.455	0.9	0	
Marketing	1.9	0.6	2.4	1	
Generaliste	102.3	102.9	104.9	117.7	
milieu francophone minoritaire	0	0	3.1	2.2	
milieu d'immersion francaise	0	0	0	0	
Enseignement de Musique	3.4	2.4	3.7	7.1	
Enseignement des Mathematiques	14.3	16.95	11.6	16.4	

U OF A INFORMATION

GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Baccalaureat es arts

Baccalaureat es sciences

Combined Baccalaureat en Education Secondaire/Bachelor of Science

Faculté Saint-Jean

Career
Preparation

Diploma

Gestion touristique

Techniques d'administration des affaires (TAA)

GOA SPECIALIZATION	TARGETS			
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE
Etudes sociales	22.1	19.8	28.6	38.4
Langue seconde-Francais	20.9	21.7	17.7	20.7
milieu d'immersion francaise	0	0	2	2
milieu francophone minoritaire	0	0	2.1	0.9
Sciences generales	10.5	7.4	11.6	12.8
Arts generales	19.5	26.5	21.3	19.283
Economie	36.6	28	14.8	23.7
Etudes canadiennes	0	1	2.7	1.5
Etudes interdisciplinaires	1.1	2.9	1.9	1.5
Francais-langue	13.1	7.6	6.9	7.85
Francais-litterature	3	2.4	1.8	1.8
Psychologie (Arts)	39.5	38.05	34.3	29.2
Science politique	20.4	20.6	17.3	17.1
Sociologie	12.4	11.2	11.1	8
Biologie	11.9	22	20.9	1.9
Chimie	6.3	10.6	14.5	19.2
Mathematiques	6	4.2	4.7	3.5
Physique	3.4	1.4	2	5.4
Psychologie	10.2	9.8	9.4	13.5
Sciences biologiques	80.153	77.9	91.2	111.9
Sciences de la terre	0.8	1.3	0	0
Sciences General	0.4	0	0	0
Sciences mathematiques	5	5.5	2.1	4.1
Sciences physiques	6.3	7.203	2.8	4.4
Science & Education - Secondaire	0	0	0.9	0
Sciences biologiques	15.2	18.9	13.8	12.3
Sciences mathematiques	5.9	7.2	5.4	5
Sciences physiques	5.2	5.2	4.6	5.5
	0	16	22.3	23.3
Gestion touristique	0	0	0	3.5
TAA Comptabilite	0	1	1.45	2
TAA General	0	15	13.7	17.8

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
Faculté Saint-Jean	Masters & Other GS	Degree	Master of Education
		Degree	
Faculty of Native Studies	Undergraduate	Degree	Bachelor of Arts in Native Studies
			Combined Bachelor of Arts in Native Studies/Bachelor of Education (Elementary)
			Combined Bachelor of Arts in Native Studies/Bachelor of Education (Secondary)
			Combined Bachelor of Arts in Native Studies/BSc in Environmental and Conservation Sciences
		Certificate	Aboriginal Governance and Partnership
Faculty of Native Studies	Masters & Other GS	Degree	Master of Arts in Native Studies
Graduate Studies and Research	Masters & Other GS	Degree	Master of Science
Law	Undergraduate	Degree	

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
TAA Management	0	0	7.15	0	
	22.166	19.595	19.734	18.447	28
Sciences de l'education	22.166	19.595	19.734	18.447	
	96.65	117.24	101.731	129.946	130
Native Studies	77.3	95.803	76.3	97.833	
Native Studies	0	0	0	0.8	
Native Studies and Elementary Education	7.1	5.85	7.7	7.9	
Native Studies	0	0	0.6	0.6	
Native Studies and Secondary Education	9.3	9	8.1	14.7	
Second Language-Cree	0	0	0.4	1.9	
Human Dimensions in Environmental Management	2.35	4.881	7.337	5.513	
Native Studies	0	1.406	1.094	0	
Aboriginal Governance and Partnership	0.6	0.3	0.2	0.7	
	12.168	12.163	16.829	25.659	8
Native Studies	12.168	12.163	16.829	25.659	
	4.507	0	0	0	
Graduate Studies and Research General	4.507	0	0	0	
	527.35	524.88	544.448	559.79	525

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Combined Juris Doctor/ Master of Business Administration
			Juris Doctor
Law	Masters & Other GS	Degree	Master of Laws
Law	PhD	Degree	Doctor of Philosophy
Medicine and Dentistry	Undergraduate	Degree	Bachelor of Science in Dental Hygiene
			Bachelor of Science in Medical Laboratory Science
			Bachelor of Science in Radiation Therapy
			Combined Doctor of Medicine/Doctor of Philosophy
			Doctor of Dental Surgery
			Doctor of Medicine
		Diploma	Diploma in Dental Hygiene
		Certificate	Certificate in Dentistry
			Certificate in Medicine
Medicine and Dentistry	Masters & Other GS	Degree	

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Law	1	1.066	2.7	0	
Juris Doctor	526.35	523.814	541.748	559.79	
	9.579	4.719	6.578	7.72	4
Law	9.579	4.719	6.578	7.72	
	9.998	8.998	9.664	10.664	8
Law	9.998	8.998	9.664	10.664	
	2035.542	2049.494	2069.581	2066.868	1040
Dental Hygiene	19.738	30.914	30.498	29.677	
Medical Laboratory Science	77.924	72.724	75.133	72.032	
Radiation Therapy	0	3.542	13.224	27.326	
Medicine	8.724	1.305	1.262	6.777	
Dental Surgery	162.358	161.598	167.965	164.331	
Medicine	720.758	709.499	706.073	687.799	
Dental Hygiene	78.04	75.912	75.426	70.926	
Dentistry Specialty	7	6	6	5	
Medicine Speciality	961	988	994	1003	
	341.335	384.383	409.21	431.474	259

U OF A INFORMATION

GOA INFORMATION

FACULTY

**CAREER LEVEL
GROUP**

**GOA
CREDENTIAL**

GOA PROGRAM

Master of Science

Medicine and
Dentistry

PhD

Degree

Combined Doctor of Philosophy/Doctor of Medicine

Doctor of Philosophy

Nursing

Undergraduate

Degree

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Biochemistry	23.938	25.272	23.546	30.22	
Biomedical Engineering	11.663	9.386	13.387	19.108	
Cell Biology	14.889	18.495	13.771	8.165	
Medical Microbiology and Immunology	14.541	17.429	17.76	14.319	
Medical Sciences	105.256	119.192	132.184	130.131	
Medicine	37.658	43.157	51.432	73.647	
Neuroscience	33.939	33.991	39.486	36.487	
Oncology	29.383	39.549	44.271	50.876	
Pharmacology	9	15.502	13.2	13	
Physiology	23.048	22.658	23.824	20.325	
Psychiatry	15.834	15.33	14.328	13.995	
Surgery	22.186	24.422	22.021	21.201	
	369.944	439.917	497.972	526.432	279
Biochemistry	1	2.391	1.666	1.666	
Biomedical Engineering	0	0	0	0	
Medical Microbiology and Immunology	0	0	1	1.666	
Oncology	0	0	0	1	
Pharmacology	0	0	0	1	
Surgery	0	0	0	0	
Agricultural, Food, and Nutritional Science	33.39	44.825	48.987	57.65	
Biochemistry	46.996	52.88	55.654	65.145	
Biomedical Engineering	16.83	17.83	18.718	17.773	
Cell Biology	16.836	17.33	22.496	28.49	
Medical Microbiology and Immunology	34.833	35.493	35.489	39.986	
Medical Sciences	86.657	110.031	118.354	117.738	
Neuroscience	38.83	50.489	50.651	41.484	
Oncology	30.385	38.772	43.71	46.262	
Pharmacology	12.997	8.333	16.996	19.659	
Physiology	22.165	25.328	28.658	37.153	
Psychiatry	12.666	13.997	16.496	16.66	
Surgery	16.359	22.218	39.097	33.1	
	1565.134	1622.605	1495.029	1287.687	1354

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Bachelor of Science in Nursing
			Bachelor of Science in Nursing (Bilingual)/Baccalaureat es sciences infirmieres (bilingue)
Nursing	Masters & Other GS	Degree	Master of Nursing
Nursing	PhD	Degree	Doctor of Philosophy
Open Studies	Undergraduate	Non-Credential	Open Studies
Pharmacy & Pharmaceutical Sci	Undergraduate	Degree	Bachelor of Science in Pharmacy
Pharmacy & Pharmaceutical Sci	Masters & Other GS	Degree	Doctor of Pharmacy
Pharmacy & Pharmaceutical Sci	PhD	Degree	Master of Science
Pharmacy & Pharmaceutical Sci	PhD	Degree	Doctor of Philosophy

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Nursing	1010.929	1032.941	1034.583	951.515	
Nursing - After Degree	488.712	520.896	390.331	273.127	
Nursing	65.493	68.768	70.115	63.045	
	70.428	64.347	62.307	49.509	84
Nursing	70.428	64.347	62.307	49.509	
	75.83	80.827	97.863	106.524	84
Nursing	75.83	80.827	97.863	106.524	
	581.75	542.683	538.648	584	543
Fresh Start	167.5	167.9	132.1	145.8	
Open Studies	317.95	309.583	335.898	359.984	
Transition Year Program	33.15	35.2	45.75	50.316	
Visiting Student Certificate Program	63.15	30	24.9	27.9	
	469.728	478.521	480.091	496.154	467
Pharmacy	463.428	465.841	460.592	475.833	
Pharmacy	6.3	12.68	19.499	20.321	
	23.1	27.957	31.754	36.446	15
Pharmacy and Pharmaceutical Sciences	23.1	27.957	31.754	36.446	
	38.581	39.912	44.964	45.175	31
Pharmacy and Pharmaceutical Sciences	38.581	39.912	44.964	45.175	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
Physical Educ & Recreation	Undergraduate	Degree	Bachelor of Arts in Recreation, Sport and Tourism
			Bachelor of Kinesiology
			Bachelor of Science in Kinesiology
			Combined Bachelor of Physical Education/Bachelor of Education Elementary
			Combined Bachelor of Physical Education/Bachelor of Education Secondary
Physical Educ & Recreation	Masters & Other GS	Degree	Master of Arts
			Master of Coaching
			Master of Science
Physical Educ & Recreation	PhD	Degree	Doctor of Philosophy

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
	849.261	827.144	802.707	852.649	800
Recreation, Sport and Tourism	161.451	151.1	149.7	140.4	
Activity and Nutrition	21	13.65	0	0	
Adapted Physical Activity	42.4	48.85	43.9	61.7	
Cultural and Managerial Study of Sport and Leisure	7	6.7	0	0	
Individualized Concentration	4.701	5.3	8.4	14.7	
Physical Activity and Health	18	15.6	57	107.9	
Physical Education and Health	0	0	2	0.7	
Physical Education and Recreation General	79.5	86.65	70.1	39.133	
Sport Coaching	14.3	9.9	8.5	12.2	
Sport Performance	185.4	179.85	150.5	155.2	
Kinesiology	237.4	247.4	251.1	247.7	
Generalist	12.168	7.913	9.033	17.382	
Physical Education and Health	65.441	53.831	6.257	1	
Physical Education and Secondary Education	0.5	0.4	46.217	54.634	
	87.921	83.737	75.742	80.663	55
Physical Education and Recreation	55.326	47.324	36.827	40.821	
Coaching	6.6	10.2	9.2	7.8	
Physical Education and Recreation	25.995	26.213	29.715	32.042	
	70	66.488	75.314	78.809	56
Physical Education and Recreation	70	66.488	75.314	78.809	

U OF A INFORMATION		GOA INFORMATION	
FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
Public Health	Masters & Other GS	Degree	Master of Public Health
			Master of Science
		Diploma	Postgraduate Diploma
Public Health	PhD	Degree	Doctor of Philosophy
Rehabilitation Medicine	Undergraduate	Degree	Bachelor of Science in Occupational Therapy
Rehabilitation Medicine	Masters & Other GS	Degree	Master of Science
			Master of Science in Occupational Therapy
			Master of Science in Physical Therapy
			Master of Science in Speech Language Pathology
		Certificate	
Post-Baccalaureate Certificate			

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
	199.435	221.892	203.459	195.156	147
Public Health Sciences	156.516	134.511	98.041	89.458	
Health Promotion	22.997	13.664	5.331	4	
Public Health Sciences	19.779	73.717	100.087	101.698	
Health Promotion	0.143	0	0	0	
	48.36	60.824	72.259	75.531	30
Public Health Sciences	48.36	60.824	72.259	75.531	
	2.098	2.488	3.03	2.136	0
Occupational Therapy	0.66	0.264	0.396	0.396	
Rehabilitation Medicine	1.438	2.224	2.634	1.74	
	851.04	819.116	880.208	917.502	835
Rehabilitation Medicine	35.9	41.331	45.274	57.872	
Speech Pathology and Audiology	114.132	40.073	42.02	39.77	
Occupational Therapy	244.574	255.094	281.703	318.621	
Physical Therapy	341.439	326.746	344.183	332.031	
Speech Pathology and Audiology	100.3	145.518	145.151	143.491	
Pain Management	9.518	8.016	16.867	15.698	
Sexual Health	0	0	0	6.846	
Stroke Rehabilitation	5.177	2.338	5.01	3.173	

U OF A INFORMATION

GOA INFORMATION

FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
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Rehabilitation Medicine	PhD	Degree	Doctor of Philosophy
			Master of Science in Speech Language Pathology
Science	Undergraduate	Degree	Bachelor of Science

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
	151.726	194.102	196.799	195.684	32
Rehabilitation Medicine	51.993	50.985	53.315	52.593	
Speech Pathology and Audiology	99.733	143.117	143.484	143.091	
	5715.425	5548.506	5300.457	5447.294	5488
Animal Biology	59.3	62.5	51.3	44	
Applied Mathematics	0	0	13.4	17.9	
Atmospheric Sciences	15.3	10	8.1	9	
Biochemistry	131.5	141.3	126.6	140.75	
Bioinformatics	6.403	7.203	2.7	0.9	
Biological Sciences	1757.762	1632.683	1480.066	1477.413	
Cell Biology	36.4	36.7	33.7	33	
Chemistry	368.45	381.1	398.55	380.904	
Computing Science	488.327	559.461	645.288	782.731	
Earth Sciences	168.633	175.1	173.966	153.666	
Environmental Biology	28.3	22.2	17.9	23.8	
Evolutionary Biology	6.6	6.1	9.2	7.933	
Geology	114.5	110.1	75.2	68.7	
Geophysics	69.3	54.2	52.1	34.533	
Immunology	142.754	125.404	129.1	153.333	
Mathematical Physics	0	0	15.2	10.5	
Mathematical Sciences	56.704	39.603	8.2	2.9	
Mathematics	158.233	190.933	198.4	247.5	
Mathematics and Finance	34.6	34.1	32.2	38.2	
Mathematics/Economics	51.004	54.8	57.3	52.1	
Neuroscience	108.601	112.25	133	130.25	
Pharmacology	93.6	89.603	97.7	133.95	
Physical Sciences	37.8	37.8	30.35	28.1	
Physics	203.5	207.2	186.2	179.2	
Physiology	57.9	57.3	44	70.2	
Planning	7.4	10.7	12.9	13.2	
Psychology	386.104	420.8	438.704	468.849	
Science General	1042.15	887.966	746.033	658.449	

U OF A INFORMATION GOA INFORMATION

FACULTY CAREER LEVEL GROUP GOA CREDENTIAL GOA PROGRAM

FACULTY	CAREER LEVEL GROUP	GOA CREDENTIAL	GOA PROGRAM
			Combined Bachelor of Science/Bachelor of Education (Secondary)
Science	Masters & Other GS	Degree	Master of Arts
			Master of Science
Science	PhD	Degree	Combined Doctor of Philosophy/Doctor of Medicine
			Doctor of Philosophy

GOA SPECIALIZATION	TARGETS				
	2013-14 ACTUAL FLE	2014-15 ACTUAL FLE	2015-16 ACTUAL FLE	2016-17 PRELIMINARY FLE	2016-17 TARGET
Statistics	64	67.7	69.8	68.7	
Science and Business	0	0	0	0	
Biological Sciences	11.8	9.6	11.1	13.233	
Mathematical Sciences	1.1	0.8	0	0	
Physical Sciences	7.4	3.3	2.2	3.4	
	708.485	722.044	735.874	756.556	517
Earth and Atmospheric Sciences	10.999	12.496	12.329	12.329	
Biological Sciences	155.138	163.955	166.441	170.722	
Chemistry	70.177	77.608	69.205	73.281	
Computing Science	142.636	150.627	147.45	160.624	
Earth and Atmospheric Sciences	80.82	79.641	81.803	98.417	
Integrated Petroleum Geosciences	35.875	33.375	36.75	37	
Internetworking	47.672	33.504	45.002	41.344	
Mathematical and Statistical Sciences	91.855	98.025	83.591	63.377	
Physics	73.313	72.813	93.303	99.462	
	776.638	813.006	832.473	889.99	563
Biological Sciences	0	1	1.666	1.666	
Biological Sciences	138.06	151.785	148.235	161.055	
Chemistry	232.049	218.44	212.099	231.93	
Computing Science	111.826	112.649	112.638	116.96	
Earth and Atmospheric Sciences	90.995	106.644	115.964	125.79	
Mathematical and Statistical Sciences	90.225	100.012	104.249	110.137	
Physics	113.483	122.476	137.622	142.452	



2016-2017

ANNUAL REPORT

Item No. 5a

OUTLINE OF ISSUE
Action Item

Agenda Title: **University Endowment Pool (UEP) Spending Policy**

Motion: THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Endowment Pool Spending Policy, as set forth in Attachment 1.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Dave Lawson, Chair, Board Investment Committee
Presenter	Dave Lawson, Chair, Board Investment Committee

Details

Responsibility	Vice-President (Finance and Administration)
The Purpose of the Proposal is (please be specific)	To replace the current inflation indexed banded endowment spending policy with a policy based on a 60 month average market value with a 4.0% program spending rate and an administrative fee of 0.85% which is reduced to 0.60% over a 5 year transition period.
The Impact of the Proposal is	<p>It is projected that the proposed policy will achieve improved long-term intergenerational equity. This implies that both current and future generations should benefit comparably on an inflation adjusted basis.</p> <p>The year over year change in the spending allocation under the proposed policy will have more variability than the current policy, but will remain reasonably predictable.</p> <p>The proposed policy is simple and easily understood by endowment stakeholders. It is also better aligned with those of our peer institutions.</p> <p>The proposed policy addresses concerns related to the low effective rate of program spending under the current spending policy and the size of the administrative assessment relative to program spending component.</p>
Replaces/Revises (eg, policies, resolutions)	Unitized Endowment Pool (UEP) Spending Policy approved by the Board of Governors on December 10, 2014.
Timeline/Implementation Date	April 1, 2018
Estimated Cost and funding source	It is estimated that the proposed spending policy will provide an additional \$9 million in support annually to programs funded by endowments commencing in the 2018/19 fiscal year. This will be funded from endowment investment income.
Next Steps (ie.: Communications Plan, Implementation plans)	The Vice-Presidents (Advancement) and (Finance and Administration) will continue to work jointly to ensure that this policy change is communicated to all endowment stakeholders in the coming year.
Supplementary Notes and context	<p>Endowment stakeholders (donors and Faculties) have expressed concerns with respect to the current spending policy's level of complexity and the level of spending. Specifically there is a concern that the level of program spending is too low, while the administrative assessment for indirect costs is too high.</p> <p>The Vice-Presidents Finance & Administration and Advancement jointly retained the services of Mercer (a consulting firm) to review the UEP Spending Policy. The Mercer report and Management's evaluation, consultations and the proposed next steps were presented to the Board</p>

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Investment Committee at the November 30, 2016 and March 1, 2017 meetings as an information item for discussion and advice. On May 31, 2017, Management provided the Committee with an update on the consultation process, an analysis of the policy options, an assessment of the impact on the effective rate of spending and probability of maintaining the real value of the endowments under the proposed policy.

The University's current endowment spending policy follows a banded inflation indexed methodology that seeks to increase the amount allocated for spending annually by the rate of inflation so long as total endowment spending remains between 4.0% and 5.5% of endowment value. Total endowment spending is comprised of the program spending allocation, the administrative assessment for indirect costs, and direct investment management costs.

The current spending policy contains constraints that suspended inflation indexing subsequent to the global financial crisis as the real value of the endowments was being restored. These constraints resulted in the per unit spending allocation remaining frozen at 2010 rates for 5 years, producing a 4.1% effective rate of total spending, of which the program spending component is only 2.9% versus the stated policy rate of 3.9%.

In their report to the University, Mercer indicated that banded inflation indexed spending policies tend to favor endowment growth over current spending, while policies based on a moving average of market value tend to be more even handed (intergenerational equity). Mercer also pointed out that certain other elements of our spending policy are highly complex and difficult for stakeholders to understand.

Given the University's current spending policy is aligned with the objective of real growth as articulated in the current University Funds Investment Policy, Mercer recommended that the University reassess this and other objectives and choose a spending policy methodology that best fits the University's goals.

Management held meetings with individual Deans, Dean's Council, and select major donors where the following 4 questions were discussed.

1. Intergenerational Equity - Should benefits be spent more equally between current and future constituents of the endowed assets or should one generation benefit to a greater degree than another in favor of long-term growth?

Management received some varying responses to this question from Deans and donors, but in aggregate the conclusion was that the focus should be on intergenerational equity as opposed to real growth. While a few Deans and donors would favor real growth, they acknowledged that this may not be appropriate for all endowments.

2. Spending Predictability - Should the spending policy have a high degree of predictability associated with the amount being allocated? How important is spending allocation predictability?

Again Management received varying responses to this question from

Item No. 5a

Deans, but in aggregate the conclusion was that a high degree of predictability was not that important. Faculties with academic programs whose salary costs are almost entirely supported by endowments stressed the need for predictability. It was also acknowledged that endowed scholarships require a greater degree of predictability.

Overall donors acknowledged that endowments would naturally be subject to variability due to market forces. At the same time, donors expect the variability to be smoothed out over time.

3. Simplicity and Transparency - Should our ability to easily communicate spending methods be a consideration in determining the policy we choose?

There was broad consensus amongst Deans and donors that simplicity and transparency are very important. A greater emphasis must be placed on how we communicate our policies to donors. The recent improvements to our annual endowment stewardship report on individual endowments have significantly improved the level of transparency.

4. Growth - The most direct method of growing the endowment is through donations. How important is it to be seen as an attractive option for donor investment compared with endowments carried by other charities?

There was broad consensus amongst Deans and donors that the best way to grow the endowment is through new donations.

Donors and Deans both acknowledged that donors will choose giving vehicles that align best with their goals and preferences. Donors seeking high levels of immediate spending on a program will choose to make expendable donations. The University's effective rate of spending should be in line with other institutions.

Ultimately, to grow the endowment, the University needs to be responsive to donors' wishes and concerns, demonstrate that it is a good steward of the funds, and is making prudent decisions related to fees and administrative costs.

Further analysis and projections have confirmed that even with a dramatically simplified version of the current inflation indexed banded spending policy (complete with a catch up provision for the years in which there was no inflation indexing); there would be no meaningful increases to the effective rate of total spending, which was projected to increase from 4.1% to 4.3%, with the program spending component remaining below 3.1%.

The proposed policy based on a 60 month average market value with a 4.0% program spending rate and an administrative fee of 0.85% which is reduced to 0.60% over a 5 year transition period, is projected to have an effective rate of total spending of 4.9%, with an effective rate of program spending of 3.6% to 3.7%. The 4.9% effective rate of total spending remains in alignment with the current policy's range of 4.0% to 5.5%.

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	<p>Since the proposed policy does not have a bias towards real endowment growth and is more focused on intergenerational equity, it has a lower, but still reasonably high probability of maintaining the real value of the endowments over a 20 year time horizon. In relative terms, the proposed spending policy has a 6% lower probability than the current spending policy.</p> <p>The name of the proposed policy is being changed from Unitized Endowment Pool (UEP) Spending Policy to University Endowment Pool (UEP) Spending Policy to allow for the potential future proportionate allocation of all investment earnings and costs to each individual endowment. This allocation would enable enhanced financial reporting to endowment stakeholders and eliminate the need for units. At present the allocation of investment earnings and costs will continue to be reflected through changes in the unit market value and each individual endowment will continue to hold units in the UEP.</p>
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Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • Vice-President (Finance and Administration) • Vice-President (Advancement) • Deans' Council • President's Executive Committee - Strategic • Board Investment Committee
	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Vice-President (Finance and Administration) • Vice-President (Advancement) • Select Major Donors • Deans' Council • President's Executive Committee - Strategic • Board Investment Committee
	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Director, Investments and Treasury • Associate Director, Investments and Treasury • Portfolio Manager, Investments and Treasury • Vice-President (Finance and Administration) • Vice-President (Advancement)
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Board Investment Committee, May 31, 2017 (recommendation)_ Board of Governors, June 23, 2017 (approval)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Alignment/Compliance

<p>Alignment with Guiding Docs</p>	<p>Institutional Strategic Plan – <i>For the Public Good: Excel and Sustain</i></p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</p>	<p>Post-Secondary Learning Act (PSLA) Section 76: Pooled Trust Fund</p> <p>(1) <i>In this section, “pooled trust fund” means a fund that consists of a trust fund and one or more other funds combined for the purpose of investment and that allocates to each trust an amount computed by reference to the value of that trust’s proportionate interest in the assets of the fund.</i></p>

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(2) A board may

(a) provide for the establishment, management, investment and winding-up of a pooled trust fund,

(b) alter the terms and conditions of a trust to allow the trust to participate in a pooled trust fund,

(c) alter the terms and conditions of a trust to enable income earned by the trust to be withheld from distribution to avoid fluctuations in the amounts distributed and generally to regulate the distribution of income earned by the trust,

(c.1) alter the terms and conditions of a trust to enable the board to encroach on the capital of the trust to avoid fluctuations in the amounts distributed and generally to regulate the distribution of income earned by the trust if, in the opinion of the board, the encroachment benefits the public post-secondary institution and does not impair the long-term value of the fund, and

(d) provide for remuneration for the trustee of a pooled trust fund and the trusts that participate in the pooled trust fund out of the income earned by the pooled trust fund.

Board Investment Committee Terms of Reference

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 and make decisions on behalf of the Board with respect to all investments, including both short-term and long-term investments ("Investments"). The Committee shall also consider such other matters delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:

(a) assist the Board with all of its policy setting responsibilities related to Investments by reviewing and recommending the Endowment Objectives, the UEP Spending Policy (in matters that affect the Effective Rate of Spending), and the University Funds Investment Policy.

4. LIMITATIONS 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 Committee shall bring to the Board for final approval or information:

(b) The approval of the Endowment objectives and spending policy of the University.

Attachments:

1. Draft University Endowment Pool (UEP) Spending Policy – Final (3 pages)



Item No. 5a

2. Draft University Endowment Pool (UEP) Spending Policy – Track Changes (4 pages)
3. Unitized Endowment Pool (UEP) Spending Policy – Current (3 pages)

Prepared by: Ron Ritter, Director, Investments and Treasury, 780-492-9987, ron.ritter@ualberta.ca

Revised: 6/16/2017

University Endowment Pool (UEP) Spending Policy

Office of Accountability:	Vice-President Finance and Administration
Office of Administrative Responsibility:	Financial Services
Approved By:	Board of Governors

Overview

The University Endowment Pool (UEP) is intended to support current and future beneficiaries in perpetuity. The UEP Spending Policy, University Funds Investment Policy, and Statement of Investment Principles and Beliefs are interrelated and designed to maintain the real value of the UEP over time in order to preserve the future purchasing power of the assets. The investment goal of the UEP is to achieve a long-term Rate of Return that in Real terms shall equal or exceed the Effective Rate of Spending established in the UEP Spending Policy, and to do so at the level of risk specified in the University Funds Investment Policy.

A prudent level of spending is one that reflects an investment Rate of Return achievable with acceptable levels of risk. The current expected Real investment Rate of Return is between 5.00% and 5.50%. The annual review of the UEP Spending Policy is designed to ensure that it remains appropriate with respect to the UEP's overall goals and objectives.

Purpose

The purpose of this Spending Policy in conjunction with the University Funds Investment Policy is to preserve the Real value of endowment assets over time, while maintaining an appropriate and stable level of support to the current generation of beneficiaries.

POLICY

Spending from the UEP shall be in accordance with the following procedures effective fiscal years commencing April 1, 2018:

1. Endowment contributions enter the UEP based on the Valuation at the beginning of the month in which the contribution is received. Investment Earnings net of Direct Costs during the fiscal year in which an endowment contribution is received will become Capitalized Investment Earnings.
2. The Annual Spending Allocation is distributed to endowment holders at the beginning of each fiscal year.
3. The Annual Spending Allocation is based on 4.0% of the 60 month average Valuation ending on December 31 of the prior calendar year and applied against the endowment Valuation at the beginning of each fiscal year.
4. The UEP shall be subject to such Administrative Assessments as may be approved by the Board from time to time. This Administrative Assessment shall be in addition to the Annual Spending Allocation and Direct Costs associated with the endowment investment program. The administrative assessment rate is 0.80% effective April 1, 2018, 0.75% effective April 1, 2019, 0.70% effective April 1, 2020, 0.65% effective April 1, 2021, 0.60% effective April 1, 2022, and shall be calculated in accordance with section 3 of this policy.
5. In any particular fiscal year should the Rate of Return be less than the Effective Rate of Spending whereby Investment Earnings are insufficient to fund total spending, encroachment of Endowment Principal will be used to fund the deficiency, with the expectation that such amounts will be recovered from future Capitalized Investment Earnings. If pursuant to the review in section 6 of this policy it is

determined that the encroachment is no longer temporary, an adjustment will be made to the Annual Spending Allocation and/or the Administrative Assessment.

6. The Board Investment Committee shall review this spending policy on an annual basis for continued appropriateness. As outlined in the Board Investment Committee's Terms of Reference any required changes will be presented to the Board of Governors for approval.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Administrative Assessment	Indirect cost recovery for centrally funded goods and services that support the activities and development of the endowed programs.
Annual Spending Allocation	Amount allocated to fund the activities of the endowed programs.
Capitalized Investment Earnings	The excess of Investment Earnings less total spending which includes the Annual Spending Allocation, the Administrative Assessment and Direct Costs. Capitalized Investment Earnings will be permanently endowed.
Direct Costs	All expenditures that are directly attributable to the University Endowment Pool's investment program, including but not limited to; external investment manager costs, custodial bank charges, consulting fees and the costs of the Investment & Treasury unit within Financial Services.
Effective Rate of Spending	The total of the Administrative Assessment, Annual Spending Allocation, and Direct Costs expressed as a percentage of the market value of the assets in the University Endowment Pool.
Endowment Principal	The total of endowment contributions and cumulative Capitalized Investment Earnings.
Investment Earnings	The total of realized and unrealized investment earnings and losses on the assets of the UEP for any given fiscal year; where realized investment earnings and losses are typically made up of interest, dividends, rents and capital gains/losses arising from the sale of investments; unrealized investment earnings and losses represent the change in fair value of assets held.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts by inflation or deflation.
University Endowment Pool (UEP)	The pooling of investment assets accumulated by or donated to the University for endowment purposes to facilitate investment management and administration of the funds.
Valuation	An accounting process that allocates each individual endowment with its proportionate share of Investment Earnings, Annual Spending Allocation, Administrative Costs and Direct Costs.

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[Endowment Procedures](#)

[Legal and Administrative Aspects of Endowments](#)

[Statement of Investment Principles and Beliefs](#)

[University Endowment Pool Implementation Guidelines](#)

[University Endowment Pool Spending Allocation Estimator](#)

[University Funds Investment Policy](#)

Approved:

May 31, 2017 by Board Investment Committee

June 23, 2017 by Board of Governors

Universitytized Endowment Pool (UEP) Spending Policy

Office of Accountability:	Vice-President Finance and Administration
Office of Administrative Responsibility:	Financial Services
Approved By:	Board of Governors

Overview

The Universitytized Endowment Pool (UEP) is intended to support current and future beneficiaries in perpetuity. The UEP Spending Policy, University Funds Investment Policy, and ~~UEP~~ Statement of Investment Principles and Beliefs are interrelated and designed to maintain ~~and grow~~ the real value of the UEP over time in order to preserve ~~and enhance~~ the future purchasing power of the assets. The investment goal of the UEP is to achieve a long-term Rate of Return that in Real terms shall equal or exceed the Effective Rate of Spending established in the UEP Spending Policy, and to do so at the level of risk specified in the University Funds Investment Policy.

A prudent level of spending is one that reflects an investment Rate of Return achievable with acceptable levels of risk. The current expected Real investment Rate of Return is between 5.00% and 5.50%. The annual review of the UEP Spending Policy is designed to ensure that it remains appropriate with respect to the UEP's overall goals and objectives.

Purpose

The purpose of this Spending Policy in conjunction with the University Funds Investment Policy is to preserve ~~and to grow~~ the Real value of endowment assets over time, while maintaining an appropriate strong and stable level of support to the current generation of beneficiaries.

POLICY

Spending from the UEP shall be in accordance with the following procedures effective fiscal years commencing April 1, ~~2015~~2018:

1. Endowment contributions ~~purchase units in enter~~ the UEP based on the ~~Unit Market Value (UMV) Valuation~~ at the beginning of the month in which the contribution is received. Investment Earnings net of Direct Costs during the fiscal year in which an endowment contribution is received will become Capitalized Investment Earnings.
2. The Annual Spending Allocation is distributed to endowment holders at the beginning of each fiscal year.
3. The Annual Spending Allocation ~~shall be is~~ based on 4.0% of the 60 month average Valuation ending on December 31 of the prior calendar year and applied against the endowment Valuation at the beginning of each fiscal year ~~the number of units held by each endowment at the end of the fiscal year just completed multiplied by the Base Unit Spending Amount. The Base Unit Spending Amount shall be adjusted annually by the percentage change in Total CPI (Consumer Price Index) for the fiscal year prior to the one just completed, subject to sections 5 and 6 of this policy. The minimum annual CPI adjustment shall be 0.00% and the maximum shall be 5.00%. If the market value of the UEP does not exceed the UEP Inflation Tracking Target by at least 10.0% at the fiscal year end prior to the one just completed, the inflation adjustment shall be 0.00%.~~
4. The ~~UEP fund~~ shall be subject to such Administrative Assessments as may be approved by the Board from time to time. This Administrative Assessment shall be in addition to the Annual Spending Allocation and Direct Costs associated with the endowment investment program. The administrative

assessment rate is ~~presently 0.85%~~0.80% effective April 1, 2018, 0.75% effective April 1, 2019, 0.70% effective April 1, 2020, 0.65% effective April 1, 2021, 0.60% effective April 1, 2022, and shall be calculated in accordance with section 3 of this policy.

~~5. The Annual Spending Allocation, the Administrative Assessment and the Direct Costs will be subject to a minimum 4.0% floor and a maximum 5.5% ceiling of the average UMV for the fiscal year prior to the one just completed multiplied by the total number of units outstanding. If the 5.5% ceiling is breached, the Annual Spending Allocation and the Administrative Assessment will be proportionately reduced to ensure that total spending, including Direct Costs equals 5.5%. If the 4.0% floor is breached, the Annual Spending Allocation and the Administrative Assessment will be proportionately increased to ensure that total spending, including Direct Costs equals 4.0%, subject to section 6 of this policy.~~

~~6. The minimum total spending of 4.0% will only apply in fiscal years where the market value of the UEP exceeds the UEP Inflation Tracking Target by at least 15.0% for the fiscal year end prior to the one just completed.~~

~~7.5.~~ In any particular fiscal year should the Rate of Return be less than the Effective Rate of Spending whereby Investment Earnings are insufficient to fund total spending, encroachment of Endowment Principal will be used to fund the deficiency, with the expectation that such amounts will be recovered from future Capitalized Investment Earnings. If pursuant to the review in section ~~8-6~~ of this policy it is determined that the encroachment is no longer temporary, an adjustment will be made to the Annual Spending Allocation and/or the Administrative Assessment.

~~8-6.~~ The Board Investment Committee shall review this spending policy on an annual basis for continued appropriateness. As outlined in the Board Investment Committee's Terms of Reference any required changes will be presented to the Board of Governors for approval.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Administrative Assessment	Indirect cost recovery for centrally funded goods and services that support the activities and development of the endowed programs.
Annual Spending Allocation	Amount allocated to fund the activities of the endowed programs.
Base Unit Spending Amount	The average Unit Market Value (UMV) for the 36 months ending December 31, 2010 multiplied by a spending rate of 3.90%.
Capitalized Investment Earnings	The excess of Investment Earnings less total spending which includes the Annual Spending Allocation, the Administrative Assessment and Direct Costs. Capitalized Investment Earnings will be permanently endowed.
Direct Costs	All expenditures that are directly attributable to the UniversityUnitized Endowment Pool's investment program, including but not limited to; external investment manager costs, custodial bank charges, consulting fees and the costs of the Investment & Treasury unit within Financial Services.
Effective Rate of Spending	The total of the Administrative Assessment, Annual Spending Allocation, and Direct Costs expressed as a percentage of the market value of the assets in the UniversityUnitized Endowment Pool.

Endowment Principal	The total of endowment contributions and cumulative Capitalized Investment Earnings.
Inflation Tracking Target	Total cumulative endowment contributions indexed by Total CPI.
Investment Earnings	The total of realized and unrealized investment earnings and losses on the assets of the UEP for any given fiscal year; where realized investment earnings and losses are typically made up of interest, dividends, rents and capital gains/losses arising from the sale of investments; unrealized investment earnings and losses represent the change in fair value of assets held.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index by inflation or deflation.
Total CPI (Consumer Price Index)	A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation. As published by the Bank of Canada at: http://www.bankofcanada.ca/rates/price-indexes/cpi/
Unit Market Value	The value of one unit in the Unitized Endowment Pool, calculated monthly by taking the market value of the assets held in the UEP and dividing that amount by the number of units outstanding.
Universitytized Endowment Pool (UEP)	The pooling of investment assets accumulated by or donated to the University for endowment purposes to facilitate investment management and administration of the funds.
<u>Valuation</u>	<u>An accounting process that allocates each individual endowment with its proportionate share of Investment Earnings, Annual Spending Allocation, Administrative Costs and Direct Costs.</u>

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[Endowment Procedures](#)

[Legal and Administrative Aspects of Endowments](#)

[Statement of Investment Principles and Beliefs](#)

[Universitytized Endowment Pool Implementation Guidelines](#)

[Universitytized Endowment Pool Spending Allocation Estimator](#)

[University Funds Investment Policy](#)

Approved:

~~May~~November 31~~26~~, 2017~~4~~ by Board Investment Committee

~~June~~December 4~~23~~, 2017~~4~~ by Board of Governors

Unitized Endowment Pool (UEP) Spending Policy

Office of Accountability:	Vice-President Finance and Administration
Office of Administrative Responsibility:	Financial Services
Approved By:	Board of Governors

Overview

The Unitized Endowment Pool (UEP) is intended to support current and future beneficiaries in perpetuity. The UEP Spending Policy, University Funds Investment Policy, and UEP Statement of Investment Principles and Beliefs are interrelated and designed to maintain and grow the real value of the UEP over time in order to preserve and enhance the future purchasing power of the assets. The investment goal of the UEP is to achieve a long-term Rate of Return that in Real terms shall equal or exceed the Effective Rate of Spending established in the UEP Spending Policy, and to do so at the level of risk specified in the University Funds Investment Policy.

A prudent level of spending is one that reflects an investment Rate of Return achievable with acceptable levels of risk. The current expected Real investment Rate of Return is between 5.00% and 5.50%. The annual review of the UEP Spending Policy is designed to ensure that it remains appropriate with respect to the UEP's overall goals and objectives.

Purpose

The purpose of this Spending Policy in conjunction with the University Funds Investment Policy is to preserve and to grow the Real value of endowment assets over time, while maintaining a strong and stable level of support to the current generation of beneficiaries.

POLICY

Spending from the UEP shall be in accordance with the following procedures effective fiscal years commencing April 1, 2015:

1. Endowment contributions purchase units in the UEP based on the Unit Market Value (UMV) at the beginning of the month in which the contribution is received. Investment Earnings net of Direct Costs during the fiscal year in which an endowment contribution is received will become Capitalized Investment Earnings.
2. The Annual Spending Allocation is distributed to endowment holders at the beginning of each fiscal year.
3. The Annual Spending Allocation shall be based on the number of units held by each endowment at the end of the fiscal year just completed multiplied by the Base Unit Spending Amount. The Base Unit Spending Amount shall be adjusted annually by the percentage change in Total CPI (Consumer Price Index) for the fiscal year prior to the one just completed, subject to sections 5 and 6 of this policy. The minimum annual CPI adjustment shall be 0.00% and the maximum shall be 5.00%. If the market value of the UEP does not exceed the UEP Inflation Tracking Target by at least 10.0% at the fiscal year end prior to the one just completed, the inflation adjustment shall be 0.00%.
4. The fund shall be subject to such Administrative Assessments as may be approved by the Board from time to time. This Administrative Assessment shall be in addition to the Annual Spending Allocation and Direct Costs associated with the endowment investment program. The administrative assessment rate is presently 0.85% and shall be calculated in accordance with section 3 of this policy.

5. The Annual Spending Allocation, the Administrative Assessment and the Direct Costs will be subject to a minimum 4.0% floor and a maximum 5.5% ceiling of the average UMV for the fiscal year prior to the one just completed multiplied by the total number of units outstanding. If the 5.5% ceiling is breached, the Annual Spending Allocation and the Administrative Assessment will be proportionately reduced to ensure that total spending, including Direct Costs equals 5.5%. If the 4.0% floor is breached, the Annual Spending Allocation and the Administrative Assessment will be proportionately increased to ensure that total spending, including Direct Costs equals 4.0%, subject to section 6 of this policy.
6. The minimum total spending of 4.0% will only apply in fiscal years where the market value of the UEP exceeds the UEP Inflation Tracking Target by at least 15.0% for the fiscal year end prior to the one just completed.
7. In any particular fiscal year should the Rate of Return be less than the Effective Rate of Spending whereby Investment Earnings are insufficient to fund total spending, encroachment of Endowment Principal will be used to fund the deficiency, with the expectation that such amounts will be recovered from future Capitalized Investment Earnings. If pursuant to the review in section 8 of this policy it is determined that the encroachment is no longer temporary, an adjustment will be made to the Annual Spending Allocation and/or the Administrative Assessment.
8. The Board Investment Committee shall review this spending policy on an annual basis for continued appropriateness. As outlined in the Board Investment Committee's Terms of Reference any required changes will be presented to the Board of Governors for approval.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Administrative Assessment	Indirect cost recovery for centrally funded goods and services that support the activities and development of the endowed programs.
Annual Spending Allocation	Amount allocated to fund the activities of the endowed programs.
Base Unit Spending Amount	The average Unit Market Value (UMV) for the 36 months ending December 31, 2010 multiplied by a spending rate of 3.90%.
Capitalized Investment Earnings	The excess of Investment Earnings less total spending which includes the Annual Spending Allocation, the Administrative Assessment and Direct Costs. Capitalized Investment Earnings will be permanently endowed.
Direct Costs	All expenditures that are directly attributable to the Unitized Endowment Pool's investment program, including but not limited to; external investment manager costs, custodial bank charges, consulting fees and the costs of the Investment & Treasury unit within Financial Services.
Effective Rate of Spending	The total of the Administrative Assessment, Annual Spending Allocation, and Direct Costs expressed as a percentage of the market value of the assets in the Unitized Endowment Pool.
Endowment Principal	The total of endowment contributions and cumulative Capitalized Investment Earnings.

Inflation Tracking Target	Total cumulative endowment contributions indexed by Total CPI.
Investment Earnings	The total of realized and unrealized investment earnings and losses on the assets of the UEP for any given fiscal year; where realized investment earnings and losses are typically made up of interest, dividends, rents and capital gains/losses arising from the sale of investments; unrealized investment earnings and losses represent the change in fair value of assets held.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index.
Total CPI (Consumer Price Index)	A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation. As published by the Bank of Canada at: http://www.bankofcanada.ca/rates/price-indexes/cpi/
Unit Market Value	The value of one unit in the Unitized Endowment Pool, calculated monthly by taking the market value of the assets held in the UEP and dividing that amount by the number of units outstanding.
Unitized Endowment Pool (UEP)	The pooling of investment assets accumulated by or donated to the University for endowment purposes to facilitate investment management and administration of the funds.

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[Endowment Procedures](#)

[Legal and Administrative Aspects of Endowments](#)

[Statement of Investment Principles and Beliefs](#)

[Unitized Endowment Pool Implementation Guidelines](#)

[Unitized Endowment Pool Spending Allocation Estimator](#)

[University Funds Investment Policy](#)

Approved:

November 26, 2014 by Board Investment Committee

December 10, 2014 by Board of Governors

OUTLINE OF ISSUE
Action Item

Agenda Title: **University Funds Investment Policy**

Motion: THAT the Board of Governors, on the recommendation of the Board Investment Committee, approve the revised University Funds Investment Policy effective July 1, 2017, as set forth in Attachment 1.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Dave Lawson, Chair, Board Investment Committee
Presenter	Dave Lawson, Chair, Board Investment Committee

Details

Responsibility	Vice-President (Finance and Administration)
The Purpose of the Proposal is (please be specific)	<p>To revise the University Funds Investment Policy, specifically:</p> <p>The proposed policy creates alignment with the Committee's recently approved Statement of Investment Principles and Beliefs (SIP&B) and introduces responsible investment related policy.</p> <p>The proposed policy includes changes to make it consistent with the proposed University Endowment Pool (UEP) Spending Policy, with greater emphasis being placed on intergenerational equity as opposed to real (after inflation) endowment growth.</p> <p>The proposed policy modifies the UEP asset allocation for risk management and diversification purposes. Specifically small increases to the Diversifiers strategy, and private equity and hedge funds within the Growth strategy are proposed. It is recommended that these increases be funded from corresponding decreases in public equities within the Growth strategy and Canadian Government bonds in the Deflation Hedging strategy.</p> <p>The proposed policy reassesses the asset allocation for the Non-Endowed Investment Pool (NEIP) and recommends an expanded investment opportunity universe to enhance investment earnings.</p> <p>There are also numerous changes that can be characterized as housekeeping in nature.</p>
The Impact of the Proposal is	<p>Management will now formally integrate responsible investment considerations, including Environmental, Social and Governance (ESG) factors, in the selection and ongoing monitoring of active investment managers, with an emphasis on how these managers incorporate ESG factors in their decision making process and engage with investee companies. Management will engage with other investors where appropriate and report on ESG matters in the annual report.</p> <p>The increased emphasis on intergenerational equity in the proposed UEP Spending Policy will result in an additional \$9 million being allocated from endowment earnings to support endowment program spending in the 2018/19 fiscal year. Despite this change in emphasis the investment policy will retain its bias (albeit reduced) towards real</p>

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	<p>endowment growth as a margin of safety (after taking inflation into account) is required to maintain a reasonably predictable spending policy with modest annual volatility.</p> <p>The proposed changes to the UEP asset allocation will result in modest increases to both the fund's expected nominal return and risk profile (as measured by the volatility of returns) over the next 20 years. More importantly the proposed changes are expected to increase the probability of maintaining the purchasing power of the UEP assets from 70% to 72%.</p> <p>The proposed changes to the NEIP asset allocation will result in a decreased allocation to the Liquidity strategy to align with the University's expected cash flow needs taking various stress case scenarios into account. The allocations to both the Return Seeking and Yield strategies will increase. It is also recommended that the investment opportunity set for the Liquidity strategy be expanded to include all investment grade money market securities, and that the opportunity set for the Yield strategy be expanded to include investment-grade and high-yield fixed income securities, mortgages, private debt, preferred and low-volatility equities, and absolute return strategies. Management projects that the combined impact of these changes could generate between \$10 and \$15 million in additional investment returns annually. It is Management's intent that any incremental investment returns be set aside for future strategic initiatives.</p>
Replaces/Revises (eg, policies, resolutions)	This policy replaces the University Funds Investment Policy approved by the Board of Governors on June 19, 2015.
Timeline/Implementation Date	July 1, 2017
Estimated Cost and funding source	The endowed funds primarily represent the University's endowments. The non-endowed funds primarily represent the University's expendable funding that has been pooled for investment purposes. Incremental investment income is expected to more than offset increased costs.
Next Steps (ie.: Communications Plan, Implementation plans)	<p>Management will continue to present the Committee with recommended investment proposals for new opportunities in the UEP's investment strategies that define the investment rationale, risk and return expectations. Upon approval of the proposal, Management will commence investment manager searches with the assistance of an external consultant.</p> <p>Management will continue to present the Committee with recommended investment proposals for new opportunities in the NEIP's Liquidity and Yield strategies that define the investment rationale, risk and return expectations. Once a proposal is approved, Management will commence investment manager searches with the assistance of an external consultant.</p> <p>With respect to responsible investment, Management will send an ESG questionnaire to all existing active investment managers to serve as a baseline on which future responses can be measured. Management will also evaluate the merits of retaining a proxy voting service provider.</p>
Supplementary Notes and context	At the June 17, 2016 meeting of the Board of Governors, Management and the Committee were requested to report back to the Board of

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Governors on matters related to responsible investment. The Committee discussed these issues at its meetings most notably at the externally facilitated review of its Statement of Investment Principles and Beliefs. Management then prepared a responsible investment plan that was reviewed by the Committee. Both documents served as a foundation for changes to the University Funds Investment Policy.

The following provides context and rationale for the changes to the University Funds Investment Policy.

Purpose

Cross reference to legislation moved from UEP section as it applies to all investments.

1.0 Description of University Funds and Governance

The changes in this section and all underlying subsections can be characterized as housekeeping in nature.

2.0 University Endowment Pool (UEP)

The concepts in former section 3.0 entitled Mission of the UEP have been combined with section 2.1 that now outlines the purpose of the UEP. Section 2.2 has been changed to reflect the proposed University Endowment Pool Spending Policy.

3.1 Return and Risk

The changes to this section reflect the proposed University Endowment Pool Spending Policy. The risk section has been made consistent with the Statement of Investment Principles and Beliefs. Certain risk metrics have been removed as they represent measures at a specific point in time and will not remain constant. Given these metrics are not appropriate for a policy document, but will continue to be tracked by Management.

3.2 Asset Allocation

The small changes to the UEP's asset allocation are designed to increase the probability of maintaining the real value of the endowments over the long-term. Corresponding changes have been made to the benchmark in section 3.4.

3.3 Categories of Investments

The changes to this section can be characterized as housekeeping in nature.

4.4 Derivatives (former section)

This section has been moved to section 6.2 and 6.3 as derivatives and leverage are two separate issues and the policy should apply to all investments not just the UEP.

5.0 Non-Endowed Investment Pool (NEIP)

This section and all underlying subsections reflect changes to the NEIP's asset allocation that are designed to reflect the University's liquidity requirements and expand the investment opportunity universe for these funds with the objective of generating incremental investment returns to

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	<p>fund future strategic initiatives.</p> <p>6.1 Responsible Investment The policy now will reflect the Committee's beliefs on responsible investment as articulated in the Statement of Investment Beliefs and Principles.</p> <p>6.2 Derivatives See comments in 4.4 above.</p> <p>6.3 Leverage See comments in 4.4 above.</p> <p>6.4 Securities Lending and Commission Recapture Changes can be considered housekeeping in nature.</p> <p>6.5 Exercise of Proxies and Voting Rights Changes reflect matters under consideration in the University's responsible investment plan.</p>
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Engagement and Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <p><For further information see the link posted on the Governance Toolkit section Student Participation Protocol></p>	<p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> • Vice-President (Finance and Administration) • President's Executive Committee – Strategic (on matters related to Non-Endowed Investment Pool) • Board Investment Committee
	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Vice-President (Finance and Administration) • President's Executive Committee – Strategic (on matters related to Non-Endowed Investment Pool) • Board Investment Committee
	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Vice President (Finance and Administration) • All Investment and Treasury staff
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Board Investment Committee, May 31, 2017 (recommendation) Board of Governors, June 23, 2017 (approval)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Institutional Strategic Plan – <i>For the Public Good</i>, Sustain 2016-2020 Sustainability Plan – Goal 1.4</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)</p>	<p>Post-Secondary Learning Act (PSLA) Section 75: Banking and Investment</p> <p>(1) A board must, for the purposes of short-term cash management, keep its funds in a bank, a treasury branch, a credit union, a loan corporation or a trust corporation.</p> <p>(2) When making investments a board must adhere to the investment and lending policies, standards and procedures approved under subsection (3).</p> <p>(3) The board must, by resolution, approve policies, standards and procedures that a reasonable and prudent person would apply in respect</p>

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of a portfolio of investments to avoid undue risk of loss and to obtain a reasonable return.

(4) The contravention of subsection (2) does not by itself make any agreement or transaction void or invalid.

Board Investment Committee Terms of Reference

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 and make decisions on behalf of the Board with respect to all investments, including both short-term and long-term investments ("Investments"). The Committee shall also consider such other matters delegated to the Committee by the Board.

Without limiting the generality of the foregoing the Committee shall:

(a) assist the Board with all of its policy setting responsibilities related to Investments by reviewing and recommending the Endowment Objectives, the UEP Spending Policy (in matters that affect the Effective Rate of Spending), and the University Funds Investment Policy.

4. LIMITATIONS 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 Committee shall bring to the Board for final approval or information:

(a) the Investment Policies for the University, which shall include the establishment of broad risk tolerances, strategic asset allocation, asset class diversification, and quality standards.

(b) the Endowment Objectives and Spending Policy of the University.

In addition, the Board may, with or without recommendations from the Committee, establish investment policy matters with respect to matters of social responsibility.

Attachments:

1. Draft University Funds Investment Policy – Final (9 pages) – **for approval**
2. Draft University Funds Investment Policy – Track Changes (11 pages)
3. University Funds Investment Policy – Current (9 pages)
4. Board Investment Committee – Statement of Investment Principles and Beliefs (3 pages)
5. University of Alberta Responsible Investment Plan – Report to the Board of Governors (8 pages)

Prepared by: Ron Ritter, Director, Investments and Treasury, 780-492-9987, ron.ritter@ualberta.ca

University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Purpose

The *Post-Secondary Learning Act*, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held. The purpose of this investment policy is to establish distinct asset allocation and risk tolerances for each of the University funds according to the individual fund's spending obligations, objectives, and liquidity requirements.

POLICY

1.0 DESCRIPTION OF UNIVERSITY FUNDS AND GOVERNANCE

The Board of Governors has delegated investment oversight to the Board Investment Committee as documented in the Board Investment Committee's Terms of Reference. The Board of Governors has retained responsibility for the following matters (as outlined in this document):

- The Investment Policy for the University, which shall include the establishment of broad risk tolerances, strategic asset allocation, and responsible investment.
- The Endowment Objectives and Spending Policy of the University.

The Investment Policy is subject to annual review by the Board Investment Committee and any recommended changes require approval by the Board of Governors. Management's investment decisions are subject to the overall policy direction of the Board Investment Committee as reflected in this policy.

The Board Investment Committee approves Investment Proposals. Management has responsibility to select, retain, monitor and dismiss investment managers in accordance with the approved Investment Proposals. Funds are allocated to external managers, or, when determined to be advantageous, may be managed internally.

Each investment manager shall adhere to this policy and must exercise the care, skill, diligence and judgment that a prudent investor would exercise in making investments. Investment managers are expected to be in compliance with all applicable laws and regulations as well as the Code of Ethics and Standards of Professional Conduct established by the CFA Institute.

1.1 University Endowment Pool (UEP)

The UEP consists of the University's endowed trust funds or other funds of a permanent or long-term nature. In addition, external funds may be invested in the UEP including funds of affiliated organizations and funds where the University is a beneficiary.

1.2 Other Endowments

Other endowments consist of endowed trust funds, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.3 Non-Endowed Investment Pool (NEIP)

The NEIP consists of expendable funds, which are pooled for investment purposes.

1.4 Other Non-Endowed Funds

Other non-endowed funds consist of restricted non-endowed donations and the funds earmarked for the Supplementary Retirement Plans, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds. Other non-endowed funds also include shares in publicly held companies received as a form of compensation for licensing a University created technology and related investments in venture capital limited partnerships.

2.0 UNIVERSITY ENDOWMENT POOL (UEP)

2.1 Purpose

The UEP represents the pooling of invested assets accumulated by or donated to the University for endowed purposes. The UEP's purpose is to foster an environment of academic excellence where superior teaching, learning, and research can be continuously pursued to benefit all generations equally over time.

2.2 Nature of UEP Liabilities (Spending Policy)

The UEP provides funding to the faculties and departments of the University to be used for endowed purposes in accordance with the terms of each endowment. The objective is an appropriate and stable spending allocation that maintains its purchasing power over time, as outlined in the University Endowment Pool Spending Policy. This policy may be amended from time to time by the Board of Governors to ensure that the real value of the endowments (i.e., net of inflation) is maintained.

3.0 INVESTMENT OBJECTIVES OF THE UEP

3.1 Return and Risk

The principal investment objective of the UEP is to earn a long-term real rate of return that meets or exceeds total endowment spending as outlined in the UEP Spending Policy.

Intergenerational equity requires that the UEP be managed to provide a comparable level of support to future generations as current beneficiaries receive. This means that the value of the UEP should be preserved over time in real dollar terms in order to maintain the future purchasing power of assets. In setting the spending and investment policies for the UEP, the focus should be not just to preserve but to grow the real value of assets over time, as a margin of safety is required to maintain a stable level of support for endowed purposes across varying capital market and economic conditions.

Assets are allocated across four strategic classifications based on their primary role in the portfolio, which includes Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers. In order to achieve its investment objectives, the UEP will have to maintain a majority weighting in Growth assets and less liquid investment strategies. This is based on projected capital market assumptions which indicate that over long periods of time, these assets can be expected to provide returns that exceed total endowment spending. Deflation Hedging strategies are expected to help provide protection in times of equity market stress and support spending in a prolonged deflationary period. Conversely, Inflation Sensitive assets are expected to protect the UEP from high or unanticipated inflation, while Diversifiers consist of investment strategies that are expected to provide uncorrelated returns to the other three classifications.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies.

3.2 Asset Allocation

The strategic asset allocation is determined by the following four factors:

- Objective of a real rate of return that equals or exceeds the total rate of spending
- Long-term return, volatility, and correlation expectations for individual asset classes
- Diversification across asset classes and investment strategies
- Projected liquidity requirements of the UEP

The theoretically infinite time horizon of the UEP allows for the adoption of a strategic asset allocation policy with a high allocation to Growth assets along the following parameters:

Strategic Asset Allocation			
	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>
Growth	50%	60%	70%
Inflation Sensitive	15%	20%	25%
Deflation Hedging	5%	10%	15%
Diversifiers	5%	10%	15%
Total		<u>100%</u>	

To achieve diversification the UEP will invest in the following asset classes:

Growth			
	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>
<i>Long-Only Equity</i>			
Canadian Equity	5%	10%	15%
Global Equity	20%	25%	45%*
Emerging Markets Equity	5%	10%	15%
<i>Private Equity</i>	0%	10%	15%
<i>Marketable Alternatives</i>	0%	5%	10%
		<u>60%</u>	
Inflation-Sensitive			
<i>Real Assets</i>			
Real Estate & Infrastructure	0%	7%	10%
Natural Resource Equity	0%	5%	10%
Energy and Renewable Resources	0%	5%	10%
Commodities	0%	3%	5%
Real Return Bonds	0%	0%	5%
		<u>20%</u>	
Deflation Hedging			
<i>Fixed Income</i>			
Sovereign Bonds	5%	10%	15%
		<u>10%</u>	
Diversifiers			
<i>Uncorrelated Strategies</i>			
Absolute Return	5%	10%	15%
Cash	-5%	0%	5%
		<u>10%</u>	

* The higher maximum allocation to global equity is required to allow for a transition from the current asset allocation to the strategic asset allocation, after which the maximum allocation will be reduced to 30%.

3.3 Categories of Investments

Investment Proposals shall be classified within the following general categories within the context of overall fund objectives and the strategic asset allocation described above.

3.3.1 Growth

Growth assets include marketable equity securities, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include private debt, private equity, and venture capital.

3.3.2 Inflation Sensitive

Inflation sensitive assets include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.

3.3.3 Deflation Hedging

Deflation hedging assets include high quality sovereign fixed income securities.

3.3.4 Diversifiers

Diversifiers include cash and cash equivalents, active currency management, managed futures, precious metals, and absolute return strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.

3.4 Rate of Return Goals

In order of priority, it is expected that the UEP will achieve over any 4-year rolling period:

- An annualized real return that meets or exceeds total endowment spending.
- An annualized return, in excess of the following benchmark. The current benchmark will be modified towards the target benchmark as the strategic asset allocation is implemented.

UEP Policy Benchmark (Effective April 1, 2017)	Current	Target
MSCI Canada IMI	15%	10%
MSCI World IMI	45%	30%
MSCI Emerging Markets IMI	10%	10%
Cambridge Associates Private Equity Index	0%	10%
IPD/Realpac Canada Property Index	5%	7%
S&P Global Natural Resources Index	5%	5%
Dow Jones North America Select Junior Oil/Gas Index	5%	5%
Dow Jones - UBS Commodity Index	0%	3%
FTSE/TMX All Federal Bond Index	10%	10%
HFRI Fund of Funds Composite Index	5%	10%
	100%	100%

4.0 OTHER ENDOWMENTS

Other Endowments are invested with the same goals, restrictions and quality levels as described above, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement.

5.0 NON-ENDOWED INVESTMENT POOL (NEIP)

The NEIP consists of expendable funding that is pooled for investment purposes. The purpose of the NEIP is to provide both liquidity for the University's daily operations and the potential for return enhancement to support strategic initiatives. Long-term forecasts project that a portion of the NEIP will not be required for cash flow management purposes on an on-going basis. Therefore, an investment profile that is less liquid than what would be expected for funds with a short-term investment horizon is appropriate for a portion of the NEIP.

5.1 Asset Allocation

The strategic asset allocation in the NEIP shall be as follows:

	Minimum	Target	Maximum
Liquidity	20%	35%	70%*
Yield	15%*	35%	45%
Return Seeking	20%	30%	40%

* The higher maximum allocation to liquidity and the lower minimum allocation to yield are required to allow for a transition from the current asset allocation to the strategic asset allocation, after which the maximum and minimum will be 50% and 25% respectively.

For risk management purposes, the objective is that any appropriations from the yield strategy can only occur if the market value exceeds the underlying obligation (investment cost) by a factor of 1.1x.

In addition to the maximum policy allocation in the table above, the proportionate economic interest in the UEP of return seeking funds is limited to the quotient of 5.0% and the target allocation to illiquid investment strategies. For risk management purposes, the objective is that any appropriations from the return seeking strategy can only occur if the market value exceeds the underlying obligation (investment cost) by a factor of 1.25x.

5.2 Categories of Investments

Investment Proposals shall be classified within the following categories:

5.2.1 Liquidity

The primary investment objectives for assets in the liquidity category are to meet the University's daily cash flow requirements and to earn a return that meets or exceeds inflation with an acceptable level of risk. Assets in the liquidity category include cash, obligations or deposits issued by Canadian chartered banks, ATB Financial or credit unions that are 100% guaranteed, and investment grade money market securities.

5.2.2 Yield

The investment objective for assets in the yield category is to generate additional return above liquidity assets with an appropriate level of risk. Yield assets include fixed income securities, mortgages, private debt, preferred and low-volatility equities, and absolute return strategies.

Yield also includes loans to University of Alberta Properties Trust Inc., and internal loans to University faculties, departments, and staff. Loans to University of Alberta Properties Trust Inc. will be at prevailing commercial terms and conditions. The Internal Loan Policy approved by the Board of Governors governs internal loans.

5.2.3 Return Seeking

All return seeking funds are invested in the UEP with the objective of earning a higher long-term rate of return, and are managed in accordance with Sections 2 through 4 of this policy.

5.3 Performance Benchmarks

For each component of the NEIP the benchmark is:

NEIP Policy Benchmark (Effective April 1, 2015)		Current
Liquidity	FTSE TMX Canada 91 Day T-Bill Index	50%
Yield	FTSE TMX Canada Short Term Overall Bond Index	25%
Return Seeking	Current UEP benchmark (section 3.4)	25%
		100%

NEIP Policy Benchmark		Target
Liquidity	Canadian Consumer Price Index (CPI)	35%
Yield	Canadian Consumer Price Index (CPI) + 3%	35%
Return Seeking	Current UEP benchmark (section 3.4)	30%
		100%

The current benchmark will be modified towards the target benchmark as the strategic asset allocation is implemented.

5.4 Other Non-Endowed Funds

The assets of Restricted Non-Endowed Donations shall be invested with the same goals, restrictions, and quality levels as described above and the University's Interest Procedure for Restricted Special Purpose and Restricted Research Accounts will apply, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement. The assets of the Supplementary Retirement Plans shall be invested in accordance with the agreement.

6.0 GENERAL

6.1 Responsible Investment

As a responsible owner, the University will regularly engage and collaborate with its active investment managers on matters related to environmental, social and governance (ESG) risks and opportunities.

Specifically the University will:

- Integrate the consideration of ESG factors into the investment process as an additional criterion in the selection and ongoing monitoring of active investment managers.
- Regularly review and track the engagement of active investment managers with their investee companies and their proxy voting records on ESG related issues.
- Obtain and evaluate annual disclosure from all active investment managers on how ESG factors are incorporated into their investment decision making processes.
- Collaborate with other institutional investors and industry associations on ESG matters where appropriate.
- Disclose and publish a detailed listing of its investments annually, and report on ESG matters in the Investment Committee's annual report.

6.2 Use of Derivatives

Derivatives offer ways to enhance risk adjusted returns or to protect against unwanted market movements. Where prudent and appropriate, derivatives may be used to gain market exposure, assist with hedging, and/or risk management.

6.3 Leverage

Leverage is an integral component of certain investment strategies. Where leverage is used, investments will be structured to limit potential maximum losses to the amount invested. The use of leverage will not be undertaken at the portfolio or fund level.

6.4 Securities Lending and Commission Recapture

The securities may be loaned to investment dealers and banks as part of the custodian's lending program when it is deemed that such lending may add incremental return to the funds at minimal risk. External equity investment managers may be directed to participate in a commission recapture program in order to help mitigate internal investment research related expenses.

6.5 Exercise of Proxies and Voting Rights

Proxy or other voting rights will be exercised in the best interest of the University. The responsibility for voting may be delegated to the investment manager, but the University reserves the right to direct the investment manager on the voting of proxies.

6.6 Valuation of Infrequently Traded Investments

The valuation of infrequently traded investments shall be determined by the trustee or custodian of the fund. In the case of direct investments in real estate, the valuation shall be based on independent opinions of qualified appraisers as required.

6.7 Conflict of Interest Guidelines and Related Parties Transactions

The University's Conflict of Commitment and Conflict of Interest Policy will govern investment activities (General Faculties Council Policy # 35). Related Party transactions will be at fair market value.

6.8 Custody

To maintain a proper segregation of duties and adequate controls, all marketable securities held shall remain with or be monitored by a third-party custodian.

6.9 Donated Securities

Subject to market conditions, donated securities will generally be sold immediately upon receipt by the University. However, where it is advantageous to do so, and subject to the constraints of this policy, the University may hold these securities internally.

6.10 Policy Review

This policy shall be reviewed at least annually by the Board Investment Committee, who will either confirm or recommend changes to the Board of Governors. Upon recommendation from the Board Investment Committee, the Board of Governors can approve exceptions to this policy.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Asset Allocation

The process of dividing investments into different categories (Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers) based on the role that the underlying category or investment strategy performs towards achieving the return and risk tolerance objectives of the portfolio. Each category comprises a specific group of investments that have similar expected return patterns, similar expected risk profiles, high correlations with other investments in the same category, or have a high sensitivity to inflation.

Consumer Price Index (CPI)	A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation.
Custodian	A financial institution, usually a bank or trust company, which holds an investment portfolio's securities and cash in safekeeping.
Deflation Hedging	Any asset class that serves the primary objective of providing protection in times of market stress, and supports spending in a prolonged deflationary period. This consists primarily of high quality government and investment grade fixed income securities.
Derivatives	A financial instrument whose value is dependent on the performance of an underlying instrument or asset typically a commodity, bond or equity. They are also available on currencies, interest rates, and equity indices. Futures and options are examples of derivatives.
Diversifiers	Any asset class or investment strategy that is expected to be uncorrelated with Growth, Inflation Sensitive, and Deflation Hedging assets. This may include cash, active currency management, managed futures, and hedge fund strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.
Growth	Any asset class or investment strategy which can be expected to provide returns that exceed the inflation adjusted rate of spending over the long-term. This may include marketable equity securities, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include private debt, private equity, and venture capital.
Inflation Sensitive	Any asset class or investment strategy that is expected to protect the fund from high or unanticipated inflation. This may include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources.
Investment Proposal	A statement of objectives that defines the investment rationale, asset class and/or strategy, risk characteristics and performance expectation.
Liquidity	Any asset class or investment strategy which can be expected to preserve capital, mature in one year or less from the date of purchase and be liquidated to cash within three months.
Proxy	A written authorization given by a shareholder to another individual, usually the company's management, in order to cast his/her vote at a shareholder meeting or at some other point in time.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index.
Real Return Bond (RRB)	These bonds pay semi-annual interest based on a real interest rate. Unlike standard fixed-coupon marketable bonds, interest payments on RRBs are adjusted for changes in the consumer price index (CPI). Thus

	rates are adjusted higher for increases in the CPI and vice versa. Also known as inflation linked bonds (ILB).
Responsible Investment	The integration of environmental, social, and governance (ESG) factors into investment and ownership decisions.
Return Seeking	Any asset class or investment strategy which can be expected to be invested without the need for liquidity for at least ten years.
Risk	The possibility of loss and/or the uncertainty of future returns.
Risk Tolerance	An individual's ability to handle temporary and sustained declines in the value of their portfolio.
Value at Risk	A statistical measure of the amount of loss a portfolio might expect to experience over a specified time horizon with a given probability.
Yield	Any asset class or investment strategy which can be expected to preserve capital and mature between one and ten years.

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[University Endowment Pool \(UEP\) Spending Policy](#)

[Investment Committee Terms Of Reference](#)

[Statement of Investment Principles & Beliefs](#)

[University Endowment Pool \(UEP\) Implementation Guidelines](#)

[Internal Loan Policy](#)

[Interest Procedure – Restricted Special Purpose and Restricted Research Accounts](#)

Approved:
Board of Governors, June 23, 2017
Board Investment Committee, May 31, 2017



University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Purpose

The Post-Secondary Learning Act, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held. The purpose of this investment policy is to establish distinct asset allocation and risk tolerances for each of the University funds according to the individual fund's spending obligations, objectives, and liquidity requirements.

POLICY

1.0 DESCRIPTION OF UNIVERSITY FUNDS AND GOVERNANCE

The Board of Governors has delegated ~~most~~ investment ~~oversight/governance responsibilities~~ to the Board Investment Committee as documented in the Board Investment Committee's Terms of Reference. The Board of Governors has retained responsibility for the following matters (as outlined in this document):

- The Investment Policy~~ies~~ for the University, which shall include the establishment of broad risk tolerances, strategic asset allocation, and responsible investment/asset class diversification, and quality standards.
- The Endowment Objectives and Spending Policy of the University.
- ~~In addition, the Board may, with or without recommendations from the Committee, establish investment policy direction with respect to matters of environmental stewardship, social responsibility, and corporate governance.~~

The Investment Policy is subject to ~~an~~ annual review by the Board Investment Committee and any recommended changes require approval by the Board of Governors. Management's investment decisions are subject to the overall policy direction of the Board Investment Committee as reflected in this policy.

The Board Investment Committee ~~shall~~ approve~~s~~ Investment Proposals/Mandates. Management ~~is/has~~ responsibility ~~to~~ for selecting, retaining, monitoring and dismissal of investment managers in accordance with the approved Investment Proposals/Mandates for the management of the portfolio. Funds ~~will normally be~~ are allocated to external managers, or, when determined to be advantageous, may be managed internally/allocated to internal management.

Each investment manager shall adhere to this policy and must exercise the care, skill, diligence and judgment that a prudent investor would exercise in making investments. Investment managers are expected to be in compliance with all applicable laws and regulations as well as the Code of Ethics and Standards of Professional Conduct established by the CFA Institute.

1.1 Unitized University Endowment Pool (UEP)

The UEP consists of the University's endowed trust funds or other funds of a permanent or long-term nature. In addition, external funds may be invested in the UEP including funds of affiliated organizations and funds where the University is a beneficiary.

1.2 Other Endowments

Other endowments consist of endowed trust funds, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.3 Non-Endowed Investment Pool (NEIP)

The NEIP consists of expendable funds, which are pooled for investment purposes. ~~For cash flow management purposes the Liquidity portion of the NEIP may include UEP funds.~~

1.4 Other Non-Endowed Funds

Other non-endowed funds consist of restricted non-endowed donations and the funds earmarked for the Supplementary Retirement Plans, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds. Other non-endowed funds also include shares in publicly held companies received as a form of compensation for licensing a University created technology and related investments in venture capital limited partnerships.

1.5 ~~Equity Investments in Technology Transfer~~

~~The University has accepted equity positions as a form of compensation for licensing a University created technology to a company. Through this activity the University has developed a portfolio of equity investments in both publicly and privately held companies. To facilitate the ongoing development of such companies the University may invest in venture capital limited partnerships. Governance responsibilities for these investments fall outside the Terms of Reference for the Board Investment Committee.~~

2.0 ~~UNITIZED UNIVERSITY ENDOWMENT POOL (UEP)~~

2.1 ~~General Description Purpose~~

The UEP represents the pooling of invested assets accumulated by or donated to the University for endowment purposes. The UEP's purpose is to foster an environment of academic excellence where superior teaching, learning, and research can be continuously pursued to benefit all generations equally over time. The Post-Secondary Learning Act, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held.

2.2 ~~Nature of UEP Liabilities (Spending Policy)~~

The UEP provides funding to the faculties and departments of the University to be used for endowed purposes in accordance with the terms of each endowment ~~or trust~~. The objective is an appropriate and stable inflation indexed spending allocation that maintains its purchasing power over time, subject to certain conditions as outlined in the Unitized University Endowment Pool Spending Policy. This policy may be amended from time to time by the Board of Governors to ensure that the real value of the endowments (i.e., net of inflation) is maintained.

3.0 ~~MISSION OF THE UEP~~

~~The purpose of the UEP is to support current and future operations of the University in perpetuity.~~

~~The endowment has a two-fold mission:~~

~~—Foster an environment of academic excellence where superior teaching, learning, and research can be pursued, and~~

~~— Enable the University to achieve and maintain an enhanced level of financial strength and independence in its operations over the long run.~~

43.0 INVESTMENT OBJECTIVES OF THE UEP

43.1 Return and Risk Tolerance

The principal investment objective of the UEP is to achieve/earn a long-term real rate of return that meets or exceeds total endowment spending as outlined in the ~~in real terms shall equal or exceed the rate of spending established in the~~ UEP ~~Spending p~~Policy.

~~I~~ntergenerational equity requires that the UEP be managed to provide ~~the same a~~ comparable level of support to future generations as current beneficiaries receive. This means that the value of the UEP should be preserved over time in real dollar terms in order to maintain the future purchasing power of assets. In setting the spending and investment policies for the UEP, the focus should be not just to preserve but to grow the real value of assets over time, as a margin of safety is required to maintain a while maintaining a strong and stable level of support ~~to the current operations of the University for endowed purposes across varying capital market and economic conditions.~~

Assets ~~will be~~ allocated across four strategic classifications ~~that are based on their primary role of the underlying assets/investment strategies~~ in the portfolio, which includes Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers. In order to achieve ~~these its investment objectives~~ goals, the UEP will have to maintain a heavy majority weighting in Growth assets and less liquid investment strategies. This is based on projected capital market assumptions which indicate that over long periods of time, these assets can be expected to provide returns that exceed ~~the inflation adjusted total rate of endowment~~ spending. Deflation Hedging strategies ~~consist of Canadian government fixed income securities which~~ are expected to help provide protection in times of equity market stress, and support spending in a prolonged deflationary period. Conversely, Inflation Sensitive assets are expected to protect the UEP fund from high or unanticipated inflation, while Diversifiers consist of investment strategies that are expected to be provide uncorrelated returns to ~~with~~ the other three classifications.

There are many types of risk that impact investment performance, including but not limited to capital markets, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies will affect the UEP's ability to achieve its return goal. The most important of which are investment related risks which may prevent the UEP from maintaining its real value over the long term. The expected standard deviation of returns for the UEP's asset allocation is 11.7%. Given the long-term return expectations, this means that in 7 out of 10 years the UEP can be expected to earn a real return between 18.2% and -5.2%.

~~With respect to losses, Value at Risk and Expected Tail Loss Risk are also calculated for the portfolio and will be monitored. Intergenerational equity requires a balance between current and future spending. An asset allocation that produces returns well in excess of total spending will transfer a greater benefit to future generations at the expense of the current beneficiaries. The probability that the endowment will maintain its real value after spending over the long term will be monitored.~~

43.2 Asset Allocation

The long-term strategic asset allocation ~~will be~~ is determined by the following four factors:

- Objective of a real rate of return that equals or exceeds the total rate of spending
- Long-term return, volatility, and correlation expectations for individual asset classes
- Diversification across asset classes and investment strategies
- Projected liquidity requirements of the UEP

The theoretically infinite time horizon of the UEP allows for the adoption of a long-term strategic asset allocation policy with a high allocation to Growth assets along the following parameters:

Long-Term Strategic Asset Allocation Mix			
	Minimum	Target	Maximum
Growth	50% 55%	60%	70%
Inflation Sensitive	15% 5%	20%	25%
Deflation Hedging	5% 10%	10%	15% 20%
Diversifiers	5% 0%	10%	15% 10%
Total		100%	

To achieve diversification the UEP will invest in the following asset classes: ~~subject to indicated limits based on total market value.~~

Growth			
	Minimum	Target	Maximum
<i>Long-Only Equity</i>			
Canadian Equity	5% 10%	10% 13%	15% 20%
Global Equity	20% 25%	25% 30%	45%*
Emerging Markets Equity	5% 0%	10%	15%
<i>Marketable Alternatives Equity Hedge Funds</i>			
Private Equity	0%	10% 6%	15% 10%
		60% 59%	
Inflation-Sensitive			
<i>Real Assets</i>			
Real Estate & Infrastructure	0%	7% 5%	10%
Natural Resource Equity	0%	5%	10%
Energy and Renewable Resources Oil & Gas	0%	5%	10%
Commodities	0%	3% 5%	5% 10%
Real Return Bonds	0%	0%	5% 10%
		20%	
Deflation Hedging			
<i>Fixed Income</i>			
Sovereign Bonds Canadian Government Bonds	5% 10%	10% 16%	15% 20%
		10% 16%	
Diversifiers			
<i>Uncorrelated Strategies Marketable Alternatives</i>			
Absolute Return	5% 0%	10% 5%	15% 10%
Cash	-5%	0%	5%
		10% 5%	

* The higher maximum allocation to global equity is required to allow for a transition from the current [asset allocation benchmark](#) to the [strategic target asset allocation benchmark](#), after which the maximum allocation will be reduced to ~~35~~30%.

43.3 Categories and Subcategories of Investments

Investment Proposals shall be classified within the following general categories within the context of overall fund objectives and the strategic asset allocation policy described above.

43.3.1 Growth

Growth assets include marketable equity securities ~~that trade on a recognized exchange~~, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include ~~mezzanine debt, distressed~~private debt, private equity, and venture capital.

43.3.2 Inflation Sensitive

Inflation sensitive assets include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and ~~public and private~~energy conventional and renewable resources~~energy investments~~equity energy~~oil and gas~~.

43.3.3 Deflation Hedging

Deflation hedging assets include high quality ~~government~~sovereign fixed income securities.

43.3.4 Diversifiers

Diversifiers include cash and ~~near~~ cash equivalents, active currency management, managed futures, precious metals and absolute return~~hedge fund~~ strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.

~~For liquidity management purposes a portion of the UEP cash is invested in the NEIP and managed according to section 6.1.1 of this policy as applicable.~~

4.4 Use of Derivatives

~~Derivatives offer ways to may or to protect against unwanted market movements. be used W. dDerivatives may be used for gaining market exposure, hedging, and risk management including the hedging of foreign currency exposure. Derivative products will not be used to leverage the UEP. The use of derivative instruments by external managers to leverage the portfolio will be regulated by their approved Investment Mandates. leverage is investments will be structured maximum~~

43.54 Rate of Return Goals

In order of priority, it is expected that the UEP will achieve over any 4-year rolling period:

- An annualized ~~rate of real~~ return, ~~before fees, that meets or exceeds total endowment spending of at least 5.25% above the Canadian Consumer Price Index (all items).~~
- An annualized ~~rate of~~ return, in excess of the following ~~composite benchmark of standard market indices~~. The current benchmark will be modified towards the target benchmark as the strategic asset allocation contemplated by this policy is implemented.

UEP Policy Benchmark (Effective April 1, 2017 5)	Current	Target
MSCI Canada IMI	15%	10% 13%
MSCI World IMI	45% 39%	30%
MSCI Emerging Markets IMI	10%	10%
Cambridge Associates Private Equity Index	0%	10% 6%
IPD/Realpac Canada Property Index	5%	7% 5%
S&P Global Natural Resources Index	5%	5%
Dow Jones North America Select Junior Oil/Gas Index	5%	5%
Dow Jones - UBS Commodity Index	0%	3% 5%
FTSE/TMX All Federal Bond Index	10% 46%	10% 46%
HFRI Fund of Funds Composite Index	5%	10% 5%
	100%	100%

- ~~An above median return in comparison to other endowment funds with similar asset allocation and return objectives.~~

54.0 OTHER ENDOWMENTS

~~The assets of the~~ Other Endowments ~~are~~shall be invested with the same goals, restrictions and quality levels as described above, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement.

65.0 NON-ENDOWED INVESTMENT POOL (NEIP)

The NEIP consists of expendable funding that is pooled for investment purposes. The purpose of the NEIP is to provide both liquidity for the University's daily operations and offers the potential for return enhancement to support strategic initiatives~~ensure that the University's liquidity requirements are met, and to generate a rate of return with the appropriate level of risk.~~ Long-term cash flow forecasts project that a portion of the NEIP will not be required for cash flow management purposes on an on-going basis. Therefore, an investment profile that is less liquid than what would be expected for funds with a short-term investment horizon is appropriate for a portion of the NEIP.

5.1 Asset Allocation

The strategic asset allocation in the NEIP shall be as follows:

	Minimum	Target	Maximum
Liquidity	20% <u>33%</u>	35% <u>50%</u>	70% <u>100%</u>
Yield	15% <u>0%</u>	35% <u>25%</u>	45% <u>33%</u>
Return Seeking	20% <u>0%</u>	30% <u>25%</u>	40% <u>33%</u>

* The higher maximum allocation to liquidity and the lower allocation to yield are required to allow for a transition from the current asset allocation to the target asset allocation, after which the maximum and minimum will be 50% and 25% respectively.

For risk management purposes, the objective is that any appropriations from the yield strategy can only occur if the market value exceeds the underlying obligation (investment cost) by a factor of 1.1x.

In addition to the maximum policy allocation in the table above, the proportionate economic interest in the UEP of return seeking funds is limited to the quotient of 5.0% and the target allocation to illiquid investment strategies. For risk management purposes, the objective is that any appropriations from the return seeking strategy can only occur if the market value exceeds the underlying obligation (investment cost) by a factor of 1.25x.

65.21 Asset Allocation Categories of Investments

Investment Proposals ~~Permitted investments~~ shall be classified within the following categories:

65.42.1 Liquidity

The primary investment objectives for assets in the liquidity category are to meet the University's daily cash flow requirements and to earn a return that meets or exceeds inflation with an

~~acceptable level of risk~~~~preserve capital~~. Assets in the liquidity category include cash, obligations or deposits issued by ~~Schedule I or II~~ Canadian chartered banks, ~~ATB Financial~~~~Alberta Treasury Branches~~ or ~~Alberta~~ credit unions that are 100% guaranteed ~~by the Credit Union Deposit Guarantee Corporation~~, and ~~high-quality~~ investment grade money market securities.

65.12.2 Yield

The investment objective for assets in the yield category is to ~~generate additional return above liquidity assets with an appropriate level of risk~~~~generate higher yield while preserving capital~~. Yield ~~enhancing~~ assets include ~~high-quality investment grade~~ fixed income securities, ~~mortgages, private debt, preferred and low-volatility equities, and absolute return strategies~~.

~~Yield also includes~~ loans to University of Alberta Properties Trust Inc., and internal loans to University faculties, departments, and staff. Loans to University of Alberta Properties Trust Inc. will be at prevailing commercial terms and conditions. The Internal Loan Policy approved by the Board of Governors governs internal loans.~~x~~.

65.12.3 Return Seeking

~~Funds allocated to the return-seeking category are considered long-term core funds and are not expected to require liquidation for a period of less than five years.~~ All return seeking funds are invested in the UEP with the objective of earning a higher long-term rate of return, and are managed in accordance with Sections 2 through 4 of this policy.

~~For risk management purposes a reserve fund with a target value of 10% of the return seeking funds has been established. This reserve is funded through appropriations of the earnings in excess of the spending allocation in any given year, and is invested in accordance with section 6.1.1-x.~~

6.2 Asset Mix and Risk Tolerance

The asset mix in the NEIP shall be as follows:

	Minimum	Target	Maximum
Liquidity	20% 33%	35% 50%	70% 100%
Yield	15% 0%	35% 25%	45% 33%
Return Seeking	20% 0%	30% 25%	40% 33%

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65.3 Performance Benchmarks

For each component of the NEIP the benchmark is:

	NEIP Policy Benchmark (Effective April 1, 2015)	Current
Liquidity	FTSE TMX Canada 91 Day T-Bill Index	50%
Yield	FTSE TMX Canada Short Term Overall Bond Index	25%
Return Seeking	Current UEP benchmark (section 3.44.5)	25%
		100%

	NEIP Policy Benchmark	Target
Liquidity	Canadian Consumer Price Index (CPI)	35%
Yield	Canadian Consumer Price Index (CPI) + 3%	35%
Return Seeking	Current UEP benchmark (section 3.4)	30%
		100%

-The current benchmark will be modified towards the target benchmark as the strategic asset allocation is implemented.

65.4 Other Non-Endowed Funds

The assets of Restricted Non-Endowed Donations shall be invested with the same goals, restrictions, and quality levels as described above and the University's Interest Procedure for Restricted Special Purpose and Restricted Research Accounts will apply, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement. The assets of the Supplementary Retirement Plans shall be invested in accordance with the agreement.

6.0 GENERAL

76.01 Responsible Investment

As a responsible owner, the University will regularly engage and collaborate with its active investment managers on matters related to environmental, social and governance (ESG) risks and opportunities. Specifically the University will:

- Integrate the consideration of ESG factors into the investment process as an additional criterion in the selection and ongoing monitoring of active investment managers.
- Regularly review and track the engagement of active investment managers with their investee companies and their proxy voting records on ESG related issues.
- Obtain and evaluate annual disclosure from all active investment managers on how ESG factors are incorporated into their investment decision making processes.
- Collaborate with other institutional investors and industry associations on ESG matters where appropriate.
- Disclose and publish a detailed listing of its investments annually, and report on ESG matters in the Investment Committee's annual report.

6.2 Use of Derivatives

Derivatives offer ways to enhance risk adjusted returns or to protect against unwanted market movements. Where prudent and appropriate, derivatives may be used to gain market exposure, assist with hedging, and/or risk management...

6.3 Leverage

Leverage is an integral component of certain investment strategies. Where leverage is used, investments will be structured to limit potential maximum losses to the amount invested. The use of leverage will not be undertaken at the portfolio or fund level.

7.0 GENERAL

76.14 Securities Lending and Commission Recapture

The securities may be loaned to investment dealers and banks as part of the custodian's lending program when it is deemed that such lending may add incremental return to the funds at minimal risk, and provided the loan is collateralized with highly liquid and marketable securities in accordance with industry standards and marked-to-market and adjusted on a daily basis.

External equity investment managers may be directed to participate in a commission recapture program in order to help mitigate internal investment research related expenses.

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7.6.25 Exercise of Proxies and Voting Rights

Proxy or other voting rights will be exercised in the best interest of the University. The responsibility for voting ~~is normally~~ may be delegated to the investment manager, but the University reserves the right to direct the investment manager on the voting of proxies.

7.6.36 Valuation of Infrequently Traded Investments

The valuation of infrequently traded investments shall be determined by the trustee or custodian of the fund. In the case of direct investments in real estate, the valuation shall be based on independent opinions of qualified appraisers as required.

7.6.47 Conflict of Interest Guidelines and Related Parties Transactions

The University's Conflict of Commitment and Conflict of Interest Policy will govern investment activities (General Faculties Council Policy # 35). Related Party transactions will be at fair market value.

7.6.58 Custody

To maintain a proper segregation of duties and adequate controls, all marketable securities held shall remain with or be monitored by a third-party custodian.

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7.6 6.9 Donated Securities

Subject to market conditions, donated securities will generally be sold immediately upon receipt by the University. However, where it is advantageous to do so, and subject to the constraints of this policy, the University may hold these securities internally.

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7.7 6.10 Policy Review

This policy shall be reviewed at least annually by the Board Investment Committee, who will either confirm or recommend changes to the Board of Governors. Upon recommendation from the Board Investment Committee, the Board of Governors can approve exceptions to this policy.

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DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Asset Allocation	The process of dividing investments into different categories (Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers) based on the role that the underlying category or investment strategy performs towards achieving the return and risk tolerance objectives of the portfolio. Each category comprises a specific group of investments that have similar expected return patterns, similar expected risk profiles, high correlations with other investments in the same category, or have a high sensitivity to inflation.
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Derivatives	A financial instrument whose value is dependent on the performance of an underlying instrument or asset typically a commodity, bond or equity. They are also available on currencies, interest rates, and equity indices. Futures and options are examples of derivatives.
Diversifiers	Any asset class or investment strategy that is expected to be uncorrelated with Growth, Inflation Sensitive, and Deflation Hedging assets. This may include cash, active currency management, managed futures, and hedge fund strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.
Expected Tail Loss Risk	A statistical measure that is designed to estimate the risk of extreme losses. This statistic is calculated by taking a portfolio's Value at Risk plus the probability weighted average loss expected in excess of the Value at Risk.
Growth	Any asset class or investment strategy which can be expected to provide returns that exceed the inflation adjusted rate of spending over the long-term. This may include marketable equity securities that trade on a recognized exchange , directional long/short equity hedge funds, and credit based long only fixed income strategies. Private investments include private debt mezzanine debt , distressed debt , private equity, and venture capital.
Inflation Sensitive	Any asset class or investment strategy that is expected to protect the fund from high or unanticipated inflation. This may include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and energy and renewable resources private oil and gas .
Investment Proposal/Mandate	A statement of objectives for a strategy that defines the investment rationale, asset class and/or strategy, risk characteristics and performance expectation, style and the geographic regions, industry sectors, and types of securities that it will invest in, as well as the benchmark index and performance expectations. Diversification and quality standards, including the use of leverage where applicable, can also be specified.
Liquidity	Any asset class or investment strategy which can be expected to preserve capital, mature in one year or less from the date of purchase and be liquidated to cash within three one months.
Proxy	A written authorization given by a shareholder to another individual, usually the company's management, in order to cast his/her vote at a shareholder meeting or at some other point in time.
Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates these nominal amounts for movements in the consumer price index.
Real Return Bond (RRB)	These bonds pay semi-annual interest based on a real interest rate. Unlike standard fixed-coupon marketable bonds, interest payments on RRBs are adjusted for changes in the consumer price index (CPI). Thus rates are adjusted higher for increases in the CPI and vice versa. Also

[know as inflation linked bonds \(ILB\).](#)

Responsible Investment	The integration of environmental, social, and governance (ESG) factors into investment and ownership decisions.
Return Seeking	Any asset class or investment strategy which can be expected to be invested without the need for liquidity for at least five-ten years.
Risk	The possibility of loss and/or the uncertainty of future returns.
Risk Tolerance	An individual's ability to handle temporary and sustained declines in the value of their portfolio.
Value at Risk	A statistical measure of the amount of loss a portfolio might expect to experience over a specified time horizon with a given probability.
Yield	Any asset class or investment strategy which can be expected to preserve capital, and mature between one year and ten five years and provide a fixed income market like rate of return.

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[Universitytized Endowment Pool \(UEP\) Spending Policy](#)

[Investment Committee Terms Of Reference](#)

[Statement of Investment Principles & Beliefs](#)

[Universitytized Endowment Pool \(UEP\) Implementation Guidelines](#)

[Internal Loan Policy](#)

[Interest Procedure – Restricted Special Purpose and Restricted Research Accounts](#)

Approved:

Board of Governors, June ~~23~~⁴, 201~~7~~⁵

Board Investment Committee, ~~May~~^{June} ~~31~~⁴, 201~~7~~⁵

University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Purpose

The purpose of this investment policy is to establish distinct asset allocation and risk tolerances for each of the University funds according to the individual fund's spending obligations, objectives, and liquidity requirements.

POLICY

1.0 DESCRIPTION OF UNIVERSITY FUNDS AND GOVERNANCE

The Board of Governors has delegated most investment governance responsibilities to the Board Investment Committee as documented in the Board Investment Committee's Terms of Reference. The Board of Governors has retained responsibility for the following matters (as outlined in this document):

- The Investment Policies for the University, which shall include the establishment of broad risk tolerances, strategic asset allocation, asset class diversification, and quality standards.
- The Endowment Objectives and Spending Policy of the University.
- In addition, the Board may, with or without recommendations from the Committee, establish investment policy direction with respect to matters of environmental stewardship, social responsibility, and corporate governance.

The Investment Policy is subject to an annual review by the Board Investment Committee and any recommended changes require approval by the Board of Governors. Management's investment decisions are subject to the overall policy direction of the Board Investment Committee as reflected in this policy.

The Board Investment Committee shall approve Investment Mandates. Management is responsible for retaining investment managers in accordance with the approved Investment Mandates for the management of the portfolio. Funds will normally be allocated to external managers, or, when determined to be advantageous, may be allocated to internal management.

Each investment manager shall adhere to this policy and must exercise the care, skill, diligence and judgment that a prudent investor would exercise in making investments. Investment managers are expected to be in compliance with all applicable laws and regulations as well as the Code of Ethics and Standards of Professional Conduct established by the CFA Institute.

1.1 Unitized Endowment Pool (UEP)

The UEP consists of the University's endowed trust funds or other funds of a permanent or long-term nature. In addition, external funds may be invested in the UEP including funds of affiliated organizations and funds where the University is a beneficiary.

1.2 Other Endowments

Other endowments consist of endowed trust funds, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.3 Non-Endowed Investment Pool (NEIP)

The NEIP consists of expendable funds, which are pooled for investment purposes. For cash flow management purposes the Liquidity portion of the NEIP may include UEP funds.

1.4 Other Non-Endowed Funds

Other non-endowed funds consist of restricted non-endowed donations and the funds earmarked for the Supplementary Retirement Plans, which cannot be pooled for investment purposes because of constraints or conditions attached to the funds.

1.5 Equity Investments in Technology Transfer

The University has accepted equity positions as a form of compensation for licensing a University created technology to a company. Through this activity the University has developed a portfolio of equity investments in both publicly and privately held companies. To facilitate the ongoing development of such companies the University may invest in venture capital limited partnerships. Governance responsibilities for these investments fall outside the Terms of Reference for the Board Investment Committee.

2.0 UNITIZED ENDOWMENT POOL (UEP)

2.1 General Description

The UEP represents the pooling of invested assets accumulated by or donated to the University for endowment purposes. The *Post-Secondary Learning Act*, Statutes of Alberta, (2003), Sections 75 and 76, provides The Governors of the University of Alberta with broad investment powers, the authority to pool funds and the authority to distribute income, subject to the terms of a trust on which it may be held.

2.2 Nature of UEP Liabilities (Spending Policy)

The UEP provides funding to the faculties and departments of the University to be used for endowed purposes in accordance with the terms of each endowment or trust. The objective is an inflation indexed spending allocation, subject to certain conditions as outlined in the Unitized Endowment Pool Spending Policy. This policy may be amended from time to time by the Board of Governors to ensure that the real value of the endowments (i.e., net of inflation) is maintained.

3.0 MISSION OF THE UEP

The purpose of the UEP is to support current and future operations of the University in perpetuity.

The endowment has a two-fold mission:

- Foster an environment of academic excellence where superior teaching, learning, and research can be pursued, and
- Enable the University to achieve and maintain an enhanced level of financial strength and independence in its operations over the long run.

4.0 INVESTMENT OBJECTIVES OF THE UEP

4.1 Return and Risk Tolerance

The investment objective of the UEP is to achieve a long-term rate of return that in real terms shall equal or exceed the rate of spending established in the UEP spending policy.

The principle of intergenerational equity requires that the UEP be managed to provide the same level of support to future generations as current beneficiaries receive. This means that the value of the UEP should be preserved over time in real terms in order to maintain the future purchasing power of assets. In setting the spending and investment policies for the UEP, the focus should be not just to preserve but to grow the real value of assets over time, while maintaining a strong and stable level of support to the current operations of the University.

Assets will be allocated across four strategic classifications that are based on the role of the underlying assets in the portfolio, which include Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers. In order to achieve these goals, the UEP will have to maintain a heavy weighting in Growth assets and less liquid investment strategies. This is based on projected capital market assumptions which indicate that over long periods of time, these assets can be expected to provide returns that exceed the inflation adjusted rate of spending. Deflation Hedging strategies consist of Canadian government fixed income securities which are expected to provide protection in times of market stress, and support spending in a prolonged deflationary period. Conversely, Inflation Sensitive assets are expected to protect the fund from high or unanticipated inflation, while Diversifiers consist of strategies that are expected to be uncorrelated with the other three classifications.

There are many types of risk that will affect the UEP's ability to achieve its return goal. The most important of which are investment related risks which may prevent the UEP from maintaining its real value over the long-term. The expected standard deviation of returns for the UEP's asset allocation is 11.7%. Given the long-term return expectations, this means that in 7 out of 10 years the UEP can be expected to earn a real return between 18.2% and -5.2%.

With respect to losses, Value at Risk and Expected Tail Loss Risk are also calculated for the portfolio and will be monitored. Intergenerational equity requires a balance between current and future spending. An asset allocation that produces returns well in excess of total spending will transfer a greater benefit to future generations at the expense of the current beneficiaries. The probability that the endowment will maintain its real value after spending over the long term will be monitored.

4.2 Asset Allocation

The long-term asset allocation will be determined by the following four factors:

- Objective of a real rate of return that equals or exceeds the total rate of spending
- Long-term return, volatility, and correlation expectations for individual asset classes
- Diversification across asset classes and investment strategies
- Projected liquidity requirements of the UEP

The infinite time horizon of the UEP allows for the adoption of a long-term asset allocation policy with a high allocation to Growth assets along the following parameters.

Long-Term Asset Mix			
	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>
Growth	55%	59%	70%
Inflation Sensitive	5%	20%	25%
Deflation Hedging	10%	16%	20%
Diversifiers	0%	5%	10%
Total		<u>100%</u>	

To achieve diversification the UEP will invest in the following asset classes subject to indicated limits based on total market value.

Growth			
	Minimum	Target	Maximum
<i>Long-Only Equity</i>			
Canadian Equity	10%	13%	20%
Global Equity	25%	30%	45%*
Emerging Markets Equity	0%	10%	15%
<i>Equity Hedge Funds</i>	0%	0%	10%
<i>Private Equity</i>	0%	6%	10%
		<u>59%</u>	
Inflation-Sensitive			
<i>Real Assets</i>			
Real Estate & Infrastructure	0%	5%	10%
Natural Resource Equity	0%	5%	10%
Oil & Gas	0%	5%	10%
Commodities	0%	5%	10%
Real Return Bonds	0%	0%	10%
		<u>20%</u>	
Deflation Hedging			
<i>Fixed Income</i>			
Canadian Government Bonds	10%	16%	20%
		<u>16%</u>	
Diversifiers			
<i>Marketable Alternatives</i>			
Absolute Return	0%	5%	10%
Cash	-5%	0%	5%
		<u>5%</u>	

* The higher maximum allocation to global equity is required to allow for a transition from the current benchmark to the target benchmark, after which the maximum allocation will be reduced to 35%.

4.3 Categories and Subcategories of Investments

Investments shall be classified within the following general categories within the context of overall fund objectives and the asset allocation policy described above.

4.3.1 Growth

Growth assets include marketable equity securities that trade on a recognized exchange, directional long/short equity hedge funds, and credit based fixed income strategies. Private investments include mezzanine debt, distressed debt, private equity, and venture capital.

4.3.2 Inflation Sensitive

Inflation sensitive assets include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and private oil and gas.

4.3.3 Deflation Hedging

Deflation hedging assets include high quality government fixed income securities.

4.3.4 Diversifiers

Diversifiers include cash and near cash equivalents, active currency management, managed futures, and hedge fund strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.

For liquidity management purposes a portion of the UEP cash is invested in the NEIP and managed according to section 6.1.1 of this policy as applicable.

4.4 Use of Derivatives

Derivatives may be used for gaining market exposure, hedging, and risk management including the hedging of foreign currency exposure. Derivative products will not be used to leverage the UEP. The use of derivative instruments by external managers to leverage the portfolio will be regulated by their approved Investment Mandates.

4.5 Rate of Return Goals

In order of priority, it is expected that the UEP will achieve over any 4-year rolling period:

- An annualized rate of return, before fees, of at least 5.25% above the Canadian Consumer Price Index (all items).
- An annualized rate of return, in excess of the following composite benchmark of standard market indices. The current benchmark will be modified towards the target benchmark as the asset allocation contemplated by this policy is implemented.

UEP Policy Benchmark (Effective April 1, 2015)	Current	Target
MSCI Canada IMI	15%	13%
MSCI World IMI	39%	30%
MSCI Emerging Markets IMI	10%	10%
Cambridge Associates Private Equity Index	0%	6%
IPD/Realpac Canada Property Index	5%	5%
S&P Global Natural Resources Index	5%	5%
Dow Jones North America Select Junior Oil/Gas Index	5%	5%
Dow Jones - UBS Commodity Index	0%	5%
FTSE/TMX All Federal Bond Index	16%	16%
HFRI Fund of Funds Composite Index	5%	5%
	100%	100%

- An above median return in comparison to other endowment funds with similar asset allocation and return objectives.

5.0 OTHER ENDOWMENTS

The assets of the Other Endowments shall be invested with the same goals, restrictions and quality levels as described above, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement.

6.0 NON-ENDOWED INVESTMENT POOL (NEIP)

The NEIP consists of expendable funding that is pooled for investment purposes. The purpose of the NEIP is to ensure that the University's liquidity requirements are met, and to generate a rate of return with the appropriate level of risk. Long-term cash flow forecasts project that a portion of the NEIP will not be required for cash flow management purposes on an on-going basis. Therefore, an investment profile that is less liquid than what would be expected for funds with a short-term investment horizon is appropriate for a portion of the NEIP.

6.1 Asset Allocation

Permitted investments shall be classified within the following categories:

6.1.1 Liquidity

The primary investment objectives for assets in the liquidity category are to meet the University's daily cash flow requirements and to preserve capital. Assets in the liquidity category include cash, obligations or deposits issues by Schedule I or II Canadian chartered banks, Alberta Treasury Branches or Alberta credit unions that are 100% guaranteed by the Credit Union Deposit Guarantee Corporation, and high quality investment grade money market securities.

6.1.2 Yield

The investment objective for assets in the yield category is to generate higher yield while preserving capital. Yield enhancing assets include high quality investment grade fixed income securities, loans to University of Alberta Properties Trust Inc., and internal loans to University faculties, departments, and staff. Loans to University of Alberta Properties Trust Inc. will be at prevailing commercial terms and conditions. The Internal Loan Policy approved by the Board of Governors governs internal loans.

6.1.3 Return Seeking

Funds allocated to the return seeking category are considered long-term core funds and are not expected to require liquidation for a period of less than five years. All return seeking funds are invested in the UEP with the objective of earning a higher long-term rate of return, and are managed in accordance with Sections 2 through 4 of this policy.

For risk management purposes a reserve fund with a target value of 10% of the return seeking funds has been established. This reserve is funded through appropriations of the earnings in excess of the spending allocation in any given year, and is invested in accordance with section 6.1.1.

6.2 Asset Mix and Risk Tolerance

The asset mix in the NEIP shall be as follows:

	Minimum	Target	Maximum
Liquidity	33%	50%	100%
Yield	0%	25%	33%
Return Seeking	0%	25%	33%

6.3 Performance Benchmarks

For each component of the NEIP the benchmark is:

	NEIP Policy Benchmark (Effective April 1, 2015)	Current
Liquidity	FTSE TMX Canada 91 Day T-Bill Index	50%
Yield	FTSE TMX Canada Short Term Overall Bond Index	25%
Return Seeking	Current UEP benchmark (section 4.5)	25%
		100%

6.4 Other Non-Endowed Funds

The assets of Restricted Non-Endowed Donations shall be invested with the same goals, restrictions, and quality levels as described above and the University's Interest Procedure for Restricted Special Purpose and Restricted Research Accounts will apply, subject to any stipulation required by contractual agreement, or by condition of the estate, or administrative arrangement. The assets of the Supplementary Retirement Plans shall be invested in accordance with the agreement.

7.0 GENERAL

7.1 Securities Lending and Commission Recapture

The securities may be loaned to investment dealers and banks as part of the custodian's lending program when it is deemed that such lending may add incremental return to the fund at minimal risk and provided the loan is collateralized with highly liquid and marketable securities in accordance with industry standards and marked-to-market and adjusted on a daily basis.

External equity investment managers may be directed to participate in a commission recapture program in order to help mitigate internal investment research related expenses.

7.2 Exercise of Proxies and Voting Rights

Proxy or other voting rights will be exercised in the best interest of the University. The responsibility for voting is normally delegated to the investment manager, but the University reserves the right to direct the investment manager on the voting of proxies.

7.3 Valuation of Infrequently Traded Investments

The valuation of infrequently traded investments shall be determined by the trustee or custodian of the fund. In the case of direct investments in real estate, the valuation shall be based on independent opinions of qualified appraisers as required.

7.4 Conflict of Interest Guidelines and Related Parties Transactions

The University's Conflict of Commitment and Conflict of Interest Policy will govern investment activities (General Faculties Council Policy # 35). Related Party transactions will be at fair market value.

7.5 Custody

To maintain a proper segregation of duties and adequate controls, all marketable securities held shall remain with or be monitored by a third-party custodian.

7.6 Policy Review

This policy shall be reviewed at least annually by the Board Investment Committee, who will either confirm or recommend changes to the Board of Governors. Upon recommendation from the Board Investment Committee, the Board of Governors can approve exceptions to this policy.

7.7 Donated Securities

Subject to market conditions, donated securities will generally be sold immediately upon receipt by the University. However, where it is advantageous to do so, and subject to the constraints of this policy, the University may hold these securities internally.

DEFINITIONS

These terms and definitions apply to this policy with no implied or intended institution-wide use.

Asset Allocation

The process of dividing investments into different categories (Growth, Inflation Sensitive, Deflation Hedging, and Diversifiers) based on the role that the underlying category or investment strategy performs towards achieving the return and risk tolerance objectives of the portfolio. Each category comprises a specific group of investments that have similar expected return patterns, similar expected risk profiles, high correlations with other investments in the same category, or have a high sensitivity to inflation.

Consumer Price Index (CPI)

A Statistics Canada index of retail prices for goods and services. Increases in the CPI are also referred to as increases in the cost of living and are directly correlated to increases in inflation.

Custodian	A financial institution, usually a bank or trust company, which holds an investment portfolio's securities and cash in safekeeping.
Deflation Hedging	Any asset class that serves the primary objective of providing protection in times of market stress, and supports spending in a prolonged deflationary period. This consists primarily of high quality government and investment grade fixed income securities.
Derivatives	A financial instrument whose value is dependent on the performance of an underlying instrument or asset typically a commodity, bond or equity. They are also available on currencies, interest rates, and equity indices. Futures and options are examples of derivatives.
Diversifiers	Any asset class or investment strategy that is expected to be uncorrelated with Growth, Inflation Sensitive, and Deflation Hedging assets. This may include cash, active currency management, managed futures, and hedge fund strategies including but not limited to low beta long/short equity, market neutral, event driven, merger arbitrage, and global macro.
Expected Tail Loss Risk	A statistical measure that is designed to estimate the risk of extreme losses. This statistic is calculated by taking a portfolio's Value at Risk plus the probability weighted average loss expected in excess of the Value at Risk.
Growth	Any asset class or investment strategy which can be expected to provide returns that exceed the inflation adjusted rate of spending over the long-term. This may include marketable equity securities that trade on a recognized exchange, directional long/short equity hedge funds, and credit based long only fixed income strategies. Private investments include mezzanine debt, distressed debt, private equity, and venture capital.
Inflation Sensitive	Any asset class or investment strategy that is expected to protect the fund from high or unanticipated inflation. This may include inflation linked bonds, real estate, infrastructure, timberland, farmland, natural resource public equities, commodities, and private oil and gas.
Investment Mandate	A statement of objectives for a strategy that defines the investment style and the geographic regions, industry sectors, and types of securities that it will invest in, as well as the benchmark index and performance expectations. Diversification and quality standards, including the use of leverage where applicable, can also be specified,
Liquidity	Any asset class or investment strategy which can be expected to preserve capital, mature in one year or less from the date of purchase and be liquidated to cash within one month.
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Rate of Return	The percentage change in the value of an asset, including interest and dividends, over an evaluation period.
Real	Used in conjunction with asset values and rates of return and restates

	these nominal amounts for movements in the consumer price index.
Real Return Bond (RRB)	These bonds pay semi-annual interest based on a real interest rate. Unlike standard fixed-coupon marketable bonds, interest payments on RRBs are adjusted for changes in the consumer price index (CPI). Thus rates are adjusted higher for increases in the CPI and vice versa.
Return Seeking	Any asset class or investment strategy which can be expected to be invested without the need for liquidity for at least five years.
Risk	The possibility of loss and/or the uncertainty of future returns.
Risk Tolerance	An individual's ability to handle temporary and sustained declines in the value of their portfolio.
Value at Risk	A statistical measure of the amount of loss a portfolio might expect to experience over a specified time horizon with a given probability.
Yield	Any asset class or investment strategy which can be expected to preserve capital, mature between one year and five years and provide a fixed income market like rate of return.

RELATED LINKS

Should a link fail, please contact the policy's Office of Administrative Responsibility (see header).

[Unitized Endowment Pool \(UEP\) Spending Policy](#)

[Investment Committee Terms Of Reference](#)

[Statement of Investment Principles & Beliefs](#)

[Unitized Endowment Pool \(UEP\) Implementation Guidelines](#)

[Internal Loan Policy](#)

[Interest Procedure – Restricted Special Purpose and Restricted Research Accounts](#)

Approved:

Board of Governors, June 19, 2015

Board Investment Committee, June 4, 2015

Board Investment Committee

Statement of Investment Principles and Beliefs

The Board Investment Committee (BIC) has been delegated oversight of the University's investment assets by the Board of Governors (BOG). The BIC sets investment objectives and strategic direction, recommends the UEP Spending Policy and University Funds Investment Policy to the BOG for approval, and monitors Management's activities for both the Unitized Endowment Pool (UEP), and the Non-Endowed Investment Pool (NEIP).

The UEP's purpose is to foster an environment of academic excellence where superior teaching, learning, and research can be continuously pursued to benefit all generations equally over time. The principal investment objectives are to earn a real return that meets or exceeds total endowment spending as outlined in the UEP Spending Policy, preserve the UEP's real value in perpetuity, and ensure investment risk is within an acceptable level.

The NEIP provides both liquidity for the University's daily operations and offers the potential for return enhancement to support strategic initiatives. For the portion of the NEIP dedicated to meeting liquidity requirements, the objective is to earn a return that meets or exceeds inflation, with an acceptable level of risk. For the remainder, the principal investment objective is to maximize returns over the long-term, with an acceptable level of risk.

The purpose of this Statement of Investment Principles and Beliefs (SIP&B) is to document the consensus views of the BIC with respect to asset allocation, implementation, performance evaluation and risk management, and responsible investment. The SIP&B is reviewed annually by the BIC to ensure the documented beliefs remain valid and is provided to the BOG for reference as required.

Asset Allocation

UEP

The BIC believes that to achieve the UEP's investment objectives, it is appropriate for the fund to be diversified across multiple investment assets and strategies. Investment opportunities are categorized according to the strategic roles they are expected to perform within the portfolio:

Growth assets generate a return over time that meets or exceeds endowment spending.

Inflation Sensitive assets help protect the fund and endowment spending from inflation.

Deflation Hedging assets provide liquidity to endowment spending during times of significant capital market stress or deflation.

Diversifiers are strategies that have a low correlation to capital markets and inflation.

NEIP

The BIC believes that the NEIP should be diversified across multiple investment assets and strategies and aligned with the University's expected cash flow requirements. Investment opportunities are categorized according to the strategic roles they are expected to perform within the portfolio:

Liquidity assets ensure that the University's short-term financial obligations are met.

Yield assets generate additional return above liquidity assets with an appropriate level of risk.

Return Seeking assets are invested for the long-term, in the UEP and/or other strategies, to further enhance returns.

Implementation

The BIC believes that how capital is deployed in both the UEP and the NEIP can affect returns and risk, and the following principles will be used when constructing portfolios and strategies:

Internal versus External Management – The decision to manage an investment strategy internally or externally is evaluated on the basis of each strategy's risk adjusted return potential, and the resources required for successful implementation.

Active versus Passive Management – The decision to use an active or passive investment strategy is evaluated on the potential for active management to deliver superior risk adjusted returns after costs.

Manager Structure – The manager structure is diversified by style and number for risk management purposes, while ensuring costs remain reasonable.

Derivatives – Derivatives may enhance risk adjusted returns and may be used where prudent and appropriate.

Leverage – Leverage is an integral component of certain investment strategies. Where used, leverage is restricted to limit potential losses to the amount invested. The use of leverage will not be undertaken at the portfolio level.

Performance Evaluation and Risk Management

The BIC believes that performance evaluation (measuring a portfolio's behaviour), and risk management (preparing for unwanted outcomes and potential opportunities) are important for the long-term success of the UEP and the NEIP:

Performance Evaluation and Monitoring – Performance is evaluated over the long term against each fund's passive benchmark portfolio. Long term performance may also be compared to a reference portfolio to further assess strategic asset allocation. Individual underlying strategies are monitored and evaluated in the context of their passive benchmarks, peers and contribution to the respective fund's overall risk and return profile. To highlight potential investment opportunities, performance will be compared to our peer institutions.

Risk Management – Risk taking is necessary in order to generate required returns. There are many risks that impact investment performance, including but not limited to capital markets, currency, economic, environmental, governance, interest rates, liquidity, political, and social. Risks will be monitored through the use of quantitative and qualitative indicators and managed where appropriate via asset allocation, active management, derivatives and other strategies. Investment opportunities are evaluated by balancing expected return against expected risk.

Responsible Investment

As a long-term investor, the BIC believes that investments in companies with positive attributes such as high ethical behaviour, strong environmental standards, respect toward their employees, human rights, and a commitment to the communities in which they do business, can improve long-term financial performance. Conversely, investments in companies that manage their environmental, social, and governance (ESG) risks poorly can negatively impact returns.

The BIC believes that a proactive approach of engagement on ESG risks and opportunities is more constructive than excluding particular investments. As an active owner, the University collaborates with its active investment managers to ensure that ESG risks are incorporated into the investment analysis and portfolio construction process and are reported upon.

Approved: March 1, 2017

University of Alberta Responsible Investment Plan

Report to the Board of Governors

Background

At the June 17, 2016 meeting of the Board of Governors, Management was requested to report back to the Board of Governors. Specifically the minutes from that meeting read:

In response to a question from the Board regarding whether the committee considers responsible investing and environmental criteria in their decisions, Mr. Lawson indicated that responsible investing is a topic discussed regularly by the committee in terms of risk management and that investment managers are selected with those factors in mind, but that the committee welcomes guidance from the Board on this issue. Ms. Clark indicated that the committee will be preparing a review of environmental, social and governance (ESG) investments to bring to the Board in the late fall.

At the November 30, 2016 meeting, the Board Investment Committee (BIC) recommended that this plan be presented to the Board of Governors in June 2017, concurrently with changes to supporting Policy documents.

What is Responsible Investment?

Responsible investment integrates ESG factors into investment and ownership decisions. While ESG factors are numerous and ever changing, they currently include the following:

- Environment issues including; climate change, greenhouse gas (GHG) emissions, resource depletion including water, waste and pollution and deforestation.
- Social issues including; working conditions including slavery and child labour, local communities including indigenous communities, conflict, health and safety, employee relations and diversity.
- Governance issues including; executive pay, bribery and corruption, political lobbying and donations, board diversity and structure, and tax strategy.

Responsible investment is related to but distinct from ethical investing, socially-responsible investing, and impact investing and is focused on opportunities and the business case rationale rather than moral rationale. Responsible investment is also not focused on negative screening or divestment, because it seeks to incorporate ESG information into the investment decision making process and then engages with companies on relevant issues to effect change.

Why Responsible Investment?

Responsible investment is a dynamic and evolving area that will likely constitute a lasting trend as opposed to a temporary fad. There is growing evidence that taking ESG factors into account when evaluating investment opportunities leads to better risk adjusted returns. The vast majority of more than 2,200 studies reviewed by Gunnar Friede, Timo Busch, and Alexander Bassen show a positive association between ESG factors and corporate financial performance.¹ Then there is this conclusion from the Morgan Stanley Institute of Sustainable Investing *Sustainable Reality: Understanding the Performance of Sustainable Investment Strategies* (March 2015):

We reviewed a range of studies on sustainable investment performance and examined performance data for 10,228 open-end mutual funds and 2,874 Separately Managed Accounts (SMAs) based in the United States and denominated in US dollars. In the scope of our review, we ultimately found that **investing in sustainability has usually met, and often exceeded, the performance of comparable traditional investments. This is on both an absolute and a risk-adjusted basis, across asset classes and over time.** (*Emphasis by Morgan Stanley*)

Fiduciary duties are also evolving to include the consideration of ESG factors. Effective January 2016, Ontario requires all pension plan Statements of Investment Policies and Procedures (SIPP) to include information about whether ESG factors are incorporated into the SIPP and, if so, how the ESG factors are addressed in the plan's investment strategy. In their commentary on this new requirement, legal firm Osler states, "At a minimum, the administrator (or its delegate, the pension committee) must consider ESG factors and whether it makes sense to expressly incorporate some such factors into its investment selection criteria." While this regulation does not apply to endowments, it points to greater awareness of ESG factors and greater disclosure by institutional investors.

Current Status

Statement of Investment Principles and Beliefs (SIP&B)

The BIC undertook a review of its Statement of Investment Principles and Beliefs (SIP&B) in October 2016. The purpose of the SIP&B is to document the consensus views of the BIC with respect to asset allocation, implementation, performance evaluation and risk

¹ Friede, Gunnar and Busch, Timo and Bassen, Alexander, ESG and Financial Performance: Aggregated Evidence from More than 2000 Empirical Studies (October 22, 2015). *Journal of Sustainable Finance & Investment*, Volume 5, Issue 4, p. 210-233, 2015, DOI: 10.1080/20430795.2015.1118917. Available at SSRN: <https://ssrn.com/abstract=2699610>

management, and responsible investment. The SIP&B now includes the following statement on responsible investment:

As a long-term investor, the BIC believes that investments in companies with positive attributes such as high ethical behaviour, strong environmental standards, respect toward their employees, human rights, and a commitment to the communities in which they do business, can improve long-term financial performance. Conversely, investments in companies that manage their environmental, social, and governance (ESG) risks poorly can negatively impact returns.

The BIC believes that a proactive approach of engagement on ESG risks and opportunities is more constructive than excluding particular investments. As an active owner, the University collaborates with its active investment managers to ensure that ESG risks are incorporated into the investment analysis and portfolio construction process and are reported upon.

Current Investment Managers

This belief statement is in alignment with how the University Endowment Pool (UEP) is currently invested. The Fund's emphasis on long-term growth orientated investment strategies, where investments are held for an average of 4 to 5 years, implies that the best investment opportunities will be found amongst companies that manage their ESG risks effectively. Investment managers with a long-term focus are expected to incorporate ESG factors into their decision making processes.

Management has examined the current ESG practices of the University's active investment managers. Together, these investment managers oversee \$1.3 billion of assets. A strong majority of the UEP is managed by investment managers who are signatories of the United Nations sponsored Principles of Responsible Investment (PRI). Of the 21 investment managers currently retained by the Fund, 15 are signatories to PRI representing \$859 million or 65% of actively managed assets as of March 31, 2017. For more information on PRI, please see Appendix A.

The University's largest single investment manager is not a PRI signatory, but incorporates ESG factors into their investment process and provides Management with a quarterly ESG report. This firm is also a supporter of the United Kingdom's Stewardship Code. This code of seven principles sets out good practice for institutional investors to engage with investee companies. A second UK based investment manager is also a supporter of the Stewardship Code. Including these two managers, the amount of investments managed with ESG issues being taken into account rises to \$1.2 billion or 91% of actively managed assets.

The Fund’s Canadian real estate investment manager is not a PRI signatory but follows the Global Reporting Initiative Sustainability Reporting Guidelines and reports on all key ESG factors in detail. This external manager achieved a “Green Star” ranking in its inaugural submission to the 2015 Global Real Estate Sustainability Benchmark (GRESB)² survey, placing it in the top 15% of global participants. The Fund’s US core real estate investment manager ranked first in the latest GRESB survey of 141 global participants.

The Fund’s other US real estate manager follows a value-add strategy and has an ESG policy. While the fund that the endowment has invested in is not yet rated by GRESB, all seven of this firm’s previous eligible US and European real estate funds have achieved a Green Star rating.

Adding in these real estate investments brings the University’s responsible investment assets to \$1.25 billion or 95%. A complete list is provided in Appendix B.

Put another way, at present, 95 cents out of every dollar managed by active investment managers is done so under ESG considerations. While there is still room for improvement, this is a very high amount considering that the University is only beginning to formally incorporate responsible investment into its decision making and monitoring processes.

Next Steps

University Funds Investment Policy

The proposed changes to the University Funds Investment Policy being presented to the Board of Governors for approval includes the following section on Responsible Investment:

Responsible Investment

As a responsible owner, the University will regularly engage and collaborate with its active investment managers on matters related to environmental, social and governance (ESG) risks and opportunities. Specifically the University will:

- *Integrate the consideration of ESG factors into the investment process as an additional criterion in the selection and ongoing monitoring of active investment managers.*

² GRESB is the world’s leading real estate benchmark used by institutional investors to assess the overall sustainability performance of their portfolios and how well real estate companies incorporate pertinent ESG issues into their operations. The 2015 Survey covered 707 management companies and funds from around the world, representing 61,000 assets worth USD \$2.3 trillion.

- *Regularly review and track the engagement of active investment managers with their investee companies and their proxy voting records on ESG related issues.*
- *Obtain and evaluate annual disclosure from all active investment managers on how ESG factors are incorporated into their investment decision making processes.*
- *Collaborate with other institutional investors and industry associations on ESG matters where appropriate.*
- *Disclose and publish a detailed listing of its investments annually, and report on ESG matters in the Investment Committee's annual report.*

The incorporation of responsible investment into the University Funds Investment Policy directly supports both the University's Institutional Strategic Plan "For the Public Good" and at a high level the University's Promise of "uplifting the whole people". Specifically, the inclusion of responsible investment will continue to enable a diversified investment program that maintains and builds the University's endowment in a responsible manner with increased engagement on ESG issues to fulfill our fiduciary and stewardship obligations.

These changes are also in alignment with the University's Sustainability Plan 2016 - 2020. Goal 1.4 of the plan and its underlying strategies are as follows:

Explore opportunities for incorporating sustainability-related approaches into the university's investments.

- i. Strategy: Explore opportunities and implications of incorporating environmental, social and governance concerns into the university's investment policy.
- ii. Strategy: Explore providing donors with a segregated but diversified sustainability-focused endowment/investment stream.
- iii. Strategy: Evaluate investing in renewable energy and other sustainability-related infrastructure as an inflation hedging strategy.
- iv. Strategy: Elevate awareness of the university's investments within the campus community, and of sustainable investing methods within the investments management team.

Implementation

The implementation and related communication of responsible investment initiatives must not just take into account the role of the University as an investor, but also its roles as an educator, researcher and consumer of goods and services. The communities that the University engages with must also be considered. Responsible investment related

initiatives will be communicated in the context of all other sustainability initiatives being undertaken by the University.

Management will formalize the components of the responsible investment section of the University Funds Investment Policy into its ongoing monitoring and reporting procedures.

Specifically:

- When selecting active investment managers, the incorporation of ESG factors in the manager's investment process will be explicitly considered and evaluated.
- When evaluating investment opportunities, serious consideration will be given to renewable energy and other sustainable investments, provided they have a competitive risk/return profile and are appropriate for one of the Fund's investment strategies.
- A questionnaire will be developed and sent to all existing active investment managers to act as a baseline on which future responses can be measured. The incorporation of ESG factors in their processes will be regularly reviewed and evaluated together with their level of engagement with individual investee companies on ESG matters and their proxy voting record. This evaluation will be one of many factors that influence investment manager retention decisions. Management will also evaluate the merits of retaining a proxy voting service provider.
- Management will collaborate with other institutional investors and industry / investor associations on ESG matters where appropriate. Becoming a PRI signatory is not considered an efficient use of resources at the present time given that the vast majority of the University's investment managers are PRI signatories or members of organizations with similar objectives.
- Management will continue to publicly disclose a detailed listing of the University's investments and will incorporate reporting on ESG matters into the Investment Committee's annual report commencing in 2018.

APPENDIX A

The United Nations sponsored Principles of Responsible Investment (PRI) is the world's leading proponent of responsible investment, with over 1,700 signatories representing more than 60 countries. PRI signatories pledge to work together to put the following six Principles for Responsible Investment into practice.

1. We will incorporate ESG issues into investment analysis and decision-making processes.
2. We will be active owners and incorporate ESG issues into our ownership policies and practices.
3. We will seek appropriate disclosure on ESG issues by the entities in which we invest.
4. We will promote acceptance and implementation of the principles within the investment industry.
5. We will work together to enhance our effectiveness in implementing the principles.
6. We will each report on our activities and progress towards implementing the principles.

APPENDIX B
University of Alberta - External Investment Managers

<u>Name</u>	<u>Assets (\$'000)</u>	<u>Assets (%)</u>
PRI Signatories		
Jarislowsky Fraser	\$ 196.4	14.9%
LSV	\$ 38.1	2.9%
Causeway	\$ 170.8	12.9%
TD Asset Management	\$ 85.0	6.4%
Hermes	\$ 71.4	5.4%
Fisher	\$ 55.7	4.2%
Ardian	\$ 10.3	0.8%
Northleaf	\$ 3.7	0.3%
Harbourvest	\$ 1.2	0.1%
Invesco	\$ 32.1	2.4%
State Street Global Advisors	\$ 81.0	6.1%
BMO Global Asset Management	\$ 53.7	4.1%
Azimuth	\$ 7.5	0.6%
LGT	\$ 32.5	2.5%
BlackRock	\$ 19.5	1.5%
	<u>\$ 858.9</u>	<u>65.0%</u>
Stewardship Code		
Walter Scott & Partners	\$ 320.0	24.2%
Polunin Capital Partners	\$ 24.3	1.8%
	<u>\$ 344.3</u>	<u>26.0%</u>
Global Reporting Initiative		
Great-West Life Realty Advisors	\$ 26.1	2.0%
Tishman Speyer	\$ 22.5	1.7%
	<u>\$ 48.6</u>	<u>3.7%</u>
Not Reporting		
Mawer	\$ 59.1	4.5%
ARC Financial	\$ 11.3	0.9%
	<u>\$ 70.4</u>	<u>5.3%</u>
Total	<u><u>\$ 1,322.2</u></u>	<u><u>100.0%</u></u>

OUTLINE OF ISSUE
Action Item

 Agenda Title: **Board Committee Appointments**

Motion: THAT the Board of Governors, on the recommendation of the Board Chair, Mr Michael Phair, approve Board Committee appointments, as set forth in Attachment 1 to the agenda documentation.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Mr Michael Phair, Chair, Board of Governors
Presenter	Michael Phair, Board Chair

Details

Responsibility	Chair of the Board of Governors
The Purpose of the Proposal is (please be specific)	To consider revisions to the annual appointment roster to Board Committees.
The Impact of the Proposal is	To ensure that Committee membership reflects the appropriate Terms of Reference and also reflects upcoming changes to Board membership.
Replaces/Revises (eg, policies, resolutions)	Replaces the 2016-2017 Committee Membership List approved by the Board on May 12, 2017.
Timeline/Implementation Date	Effective upon approval
Estimated Cost /funding source	n/a
Next Steps	Membership and contact lists will be updated accordingly
Supplementary Notes and context	<p>The Board of Governors annually reviews the recommendations of the Board Chair for appointments to Board Standing and other committees at its June meeting. Other appointments are made as required.</p> <p>Outside of current Board members, new appointments include:</p> <ul style="list-style-type: none"> • Mary Pat Barry, Alumni Association Nominee to the Board • Katherine Binhammer, incoming General Faculties Council Appointee to the Board (effective July 1) • Charlene Butler, Senate Nominee to the Board • Shenaz Jeraj, Chief Information Officer at Capital Region Housing Corporation; former Board member • David Rust, Community consultant; Lead of the Mental Health Community Action Plan for the Mental Health Continuum Project <p>Note: appointment of Committee Vice-Chairs falls within the delegated authority of each committee, per the terms of reference: <i>the Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair.</i> Vice-Chair appointments will be made at committee meetings in the Fall.</p>

Engagement and Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity) <For further information see	<u><i>Those who have been informed:</i></u> •
	<u><i>Those who have been consulted:</i></u> • Board members • Board Committee Chairs

Item No. 6a

the link posted on the Governance Toolkit section Student Participation Protocol	<u>Those who are actively participating:</u> <ul style="list-style-type: none"> • Board Chair • University Governance
Approval Route (Governance)	Board of Governors – for approval – June 23, 2017
Final Approver	Board of Governors

Alignment/Compliance

Alignment with Guiding Documents	<p>Mandates and Roles for the Board of Governors</p> <p>Institutional Strategic Plan – <i>For the Public Good:</i></p> <p><i>SUSTAIN: Sustain our people, our work, and the environment by attracting and stewarding the resources we need to deliver excellence to the benefit of all Albertans.</i></p> <p><i>21. Encourage continuous improvement in administrative, governance, planning and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.</i></p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)	<p><u>The Board's General Terms of Reference for Board Standing Committees, Sections 3 and 4 state:</u></p> <p>3. <i>A member of a Committee shall be appointed by the Board for a term commencing on a date selected by the Board and expiring on the earliest of:</i></p> <ul style="list-style-type: none"> <i>(i) the effective date of the resignation of that member from the Board;</i> <i>(ii) the effective date of the resignation of that member from that Committee;</i> <i>(iii) a date selected by the Board;</i> <i>(iv) the expiry date of the term of the appointment of a non-Board member to the Committee; and</i> <i>(v) the effective date of a general appointment of all members to that committee (ordinarily the first Board meeting in June).</i> <p><i>A member of a Committee is eligible to be reappointed to that Committee.</i></p> <p>4. <i>There shall be members of each Committee who are Board members; non-Board members may be drawn from the University Senate and elsewhere within the University or from the community as the Board considers may be appropriate or as may be provided in the Committee's terms of reference. Where the terms of reference of a Committee provide for a number of members in excess of those specifically required to be represented on the Committee, additional members may, subject to the foregoing, be appointed from any constituency.</i></p>

Attachments:

1. Proposed 2017-2018 Board of Governors Committee Membership (1 page) – for approval
2. Excerpts from Board of Governors Committees' Terms of Reference re committee composition (7 pages)

AUDIT COMMITTEE

Chair: Dick Wilson (~~Acting~~)
Vice-Chair: ~~Dick Wilson~~ <vacant>
Charlene Butler (pending Ministerial Order)
*Jon Chia (June 30, 2018)
Dominique Grégoire
*Shenaz Jeraj (June 30, 2018)
*Barry Kaiser (June 30, 2019)
*Stuart Lee (August 30, 2019)
Owen Tobert

FINANCE & PROPERTY COMMITTEE

Chair: ~~Dick Wilson~~ Owen Tobert
Vice-Chair: ~~Barry James~~ <vacant>
~~*Robert Borelli (June 30, 2017)~~ * <vacant>
Marina Banister
Matthew Barnett
David Cooper
Babak Soltannia
Glenn Stowkowy
Dick Wilson

HUMAN RESOURCES & COMPENSATION COMMITTEE

Chair: Ray Muzyka
Vice-Chair: <vacant>
Lynn Parish
Zahra Somani
*Robert Teskey (June 30, 2019)
Dick Wilson

INVESTMENT COMMITTEE

Chair: *Dave Lawson (June 30, ~~2017~~ 2020)
Vice-Chair: *Jim Drinkwater (June 30, 2019)
*Derek Brodersen (June 30, 2019)
~~<vacant>~~ Charlene Butler (pending Ministerial Order)
*John Butler (June 30, 2019)
*Gordon Clanachan (June 30, 2019)
*Allister McPherson (June 30, ~~2017~~ 2018)
*Sandy McPherson (June 30, 2018)
*Peter Pontikes (June 30, 2019)
<vacant>

* Denotes External Member on a Board Committee

For Board of Governors' approval: June 23, 2017

LEARNING AND DISCOVERY COMMITTEE

Chair: LeRoy Johnson
Vice-Chair: <vacant>
Marina Banister
Ray Muzyka
Lynne Paradis
~~Rob Parks~~ Mary Pat Barry (pending Ministerial Order)
~~Jeremy Richards~~ David Cooper
Babak Soltannia

SAFETY, HEALTH & ENVIRONMENT COMMITTEE

Chair: ~~*Gordon Winkel (June 30, 2019)~~ (~~Acting~~) Zahra Somani
Vice-Chair: *Gordon Winkel (June 30, 2019)
Matthew Barnett
~~David Cooper~~ Katherine Binhammer (effective July 1, 2017)
~~*Dave Ferro (June 30, 2017)~~ * <vacant>
~~LeRoy Johnson~~ Sheri Somerville
~~*William Lau (June 30, 2017)~~ *David Rust (June 30, 2020)
Mike Sandare
Glenn Stowkowy
Sasha van der Klein (GSA designate) (June 30, 2018)

UNIVERSITY RELATIONS COMMITTEE

Chair: ~~Rob Parks~~ Mary Pat Barry (pending Ministerial Order)
Vice-Chair: <vacant>
Matthew Barnett
~~Barry James~~ Lynne Paradis
LeRoy Johnson
*Catrin Owen (June 30, ~~2017~~ 2020)
~~Jeremy Richards~~ Katherine Binhammer (effective July 1, 2017)
Mike Sandare
Babak Soltannia
Sheri Somerville
* <vacant>

Ex Officio Members on all Board Committees:

Michael Phair, Board Chair
Douglas Stollery, Chancellor
David Turpin, President

BOARD REPRESENTATION ON UNIVERSITY COMMITTEES

Senate: ~~<vacant>~~ Lynne Paradis, ~~<vacant>~~ Sherri Somerville
Edmonton Community Foundation Nominating Committee: ~~Rob Parks~~ Mary Pat Barry
(pending Ministerial Order)
University Properties Trust Board of Directors: ~~<vacant>~~ Glenn Stowkowy, <vacant>



Audit Committee

COMPOSITION OF COMMITTEE

- (a) Voting Members appointed by the Board (Ordinarily a maximum of 12)
- (1) At least 2 Board members from the membership categories identified by the Alberta *Post-Secondary Learning Act* (the Act) as general public, alumni and senate ; and
 - (2) At least 2, but no more than 8, members of the general public
 - (3) The Board Chair, by virtue of office
 - (4) The Chancellor, by virtue of office
- (b) No member of the staff (academic or non-academic) nor any student of the University shall sit as a member of the Committee.
- (c) One member of the Committee shall also serve on the Board Finance and Property Committee.
- (d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair
- (e) The Committee appoints the Committee Vice-Chair from the Committee membership category Section 2a(1) of these Terms of Reference, upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.
- (f) A quorum of the Committee shall be 50% of the members listed in 2(a)(i) and (ii) of the Terms of Reference, one of whom must be a Board Member.
- (g) The majority of members of the audit committee should be financially literate and at least three members should have accounting or related financial expertise. Financial literacy requirements that may be considered include:
- i. The ability to read, comprehend and analyze the financial statements and the notes to the financial statements.
 - ii. The ability to understand accounting policies, estimates and judgments when these are explained by management and the external auditor.
 - iii. An understanding of the business of the University and any unique features that may impact the accounting policies.
 - iv. Knowledge and understanding of the strategies that the University has adopted, especially the risks inherent with new strategies.
 - v. An ability to understand the University's risk environment.



Finance and Property Committee

COMPOSITION OF THE COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 11 voting members):
- (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member from the membership category identified by the Act as *non-academic staff of the University*
 - (4) Two Board members from the membership category identified by the Act as *students nominated by the council of the students association* or as *graduate student nominated by the council of the association*
 - (5) One other member of the Board of Governors
 - (6) A member of the general public with specific expertise in a field of interest to the Committee
 - (7) The Board Chair, by virtue of office
 - (8) The President and Vice-Chancellor, by virtue of office
 - (9) The Chancellor, by virtue of office
- c) One of the members from the Board's constituencies of general public, or the Senate or the Alumni Association who is a member of the Committee shall also serve as a member of the Audit Committee.
- d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
- e) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Human Resources and Compensation Committee

2. COMPOSITION OF COMMITTEE

- (a) Voting Members appointed by the Board (ordinarily a maximum of 10 voting members):
 - (1) Up to six Board members from the membership categories identified by the Alberta Post-Secondary Learning Act (the Act) as general public, alumni and senate. There shall be no board members on this committee representing academic staff, non-academic staff or students
 - (2) If required, a member of the general public with specific expertise in a field of interest to the Committee, to ensure the committee has the appropriate balance of skills and competencies;
 - (3) The Board Chair, by virtue of office
 - (4) The President and Vice-Chancellor, by virtue of office
 - (5) The Chancellor, by virtue of office

- (b) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.

- (c) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Investment Committee

COMPOSITION OF COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 13 voting members)
 - (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate* subject to 2 (c) below
 - (2) Three to eight members of the general public
 - (3) The Board Chair, by virtue of office
 - (4) The President and Vice-Chancellor, by virtue of office
 - (5) The Chancellor, by virtue of office

- b) Non-Voting Officials appointed by the President
 - (1) Vice-President (Finance and Administration)
 - (2) University Secretary
 - (3) Committee Secretary
 - (4) Other officers, as determined by the President

- c) No member of the staff (academic or non-academic) nor any student of the University shall sit as a member of the Committee.

- d) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1) or 2(a)(2), upon the recommendation of the Board Chair.

- e) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Learning and Discovery Committee

COMPOSITION OF THE COMMITTEE

- a) Voting Members appointed by the Board (ordinarily a maximum of 10 voting members)
 - i) A Board member from the membership category identified by the Post-Secondary Learning Act (*the Act*) as *academic staff of the University*;
 - ii) A Board member from the membership category identified by the Act as an *undergraduate student nominated by the council of the undergraduate student association*;
 - iii) A Board member from the membership category identified by the Act as a *graduate student nominated by the council of the graduate student association*;
 - iv) Four Board members from the membership categories identified by the Act as general public, alumni and senate;
 - v) The Board Chair, by virtue of office
 - vi) The President and Vice-Chancellor, by virtue of office
 - vii) The Chancellor, by virtue of office

- b) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2 a) iv), upon recommendation of the Board Chair,

- c) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



Safety, Health and Environment Committee

COMPOSITION OF COMMITTEE

- b) Voting Members appointed by the Board (ordinarily a maximum of 12 voting members)
- (1) Two Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate staff of the University*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member or designate from the membership category identified by the Act as *students nominated by the council of the students association*
 - (4) A Board member or designate from the membership category identified by the Act as *graduate student nominated by the council of the association*
 - (5) Board member or designate from the membership category identified by the Act as *member of the non-academic staff*
 - (6) Two members of the general public with specific expertise in the area of environmental health and safety.
 - (7) A member of the general public with specific expertise in the area of non-clinical community health
 - (8) The Board Chair, by virtue of office
 - (9) The President and Vice-Chancellor, by virtue of office
 - (10) The Chancellor, by virtue of office
- c) The Board of Governors shall appoint the Committee Chair from the Committee membership category 2(a)(1), upon the recommendation of the Board Chair.
- d) The Committee shall designate the Vice-Chair from the Committee membership upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.



University Relations Committee

COMPOSITION OF THE COMMITTEE

- a. Voting Members appointed by the Board (Ordinarily a maximum 12 voting members)
- (1) Three Board members from the membership categories identified by the *Alberta Post-Secondary Learning Act (the Act)* as *general public, alumni* and *Senate*
 - (2) A Board member from the membership category identified by the Act as *academic staff of the University*
 - (3) A Board member from the membership category identified by the Act as *member of the non-academic staff*
 - (4) A Board member from the membership category identified by the Act as *students nominated by the council of the students association*
 - (5) The Board member from the membership category identified by the Act as *graduate student nominated by the council of the association*
 - (6) Two members of the general public
 - (7) The Board Chair, by virtue of office
 - (8) The President and Vice-Chancellor, by virtue of office
 - (9) The Chancellor, by virtue of office
- c. Non-Voting Advisors invited by the Committee Chair
From time to time, the Committee Chair may invite individuals who are not Board members to provide advice to the Committee.
- d. Committee Leadership
The Board of Governors appoints the Committee Chair from the Committee membership category Section 4.a(1) of these terms of reference, upon the recommendation of the Board Chair. The Committee appoints the Committee Vice-Chair from the Committee membership category Section 4a(1) of these Terms of Reference, upon the recommendation of the Board Chair and the Committee Chair. The Vice-Chair undertakes and discharges all duties of the Chair in the absence of the Chair.