

The following Motions and Documents were considered by the Board of Governors during the Open Session of its Friday, December 13, 2019 meeting:

Agenda Title: **Protection of Minors Participating in University Programs Policy**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Audit and Risk Committee, approve the Protection of Minors Participating in University Programs Policy and its associated procedure, as set forth in Attachments 1 and 2.

Final Item: 4b.

Agenda Title: **Rescission of Motion: Land disposition: Long-Term Lease (Utility Right-of-Way) – University of Alberta Botanic Garden (2018)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved by the Board of Governors on October 12, 2018:

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

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 0.28 acres of land contained within a parcel legally described as Lot D, Plan 7722357 located in the County of Parkland within the University of Alberta Botanic Garden*
- b) make an application to the Minister of Infrastructure for the required approval for the Lieutenant Governor in Council for the granting of the disposition via long-term lease.*

Final Item: 4c.

Agenda Title: **Rescission of Motion: Land disposition: Long-Term Lease (Utility Right-of-Way) – Mattheis Ranch (2018)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved by the Board of Governors on October 12, 2018:

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

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 3.65 acres of land contained within the parcel legally described as L.S. 6 Sec. 18 Twp. 22 Rge. 14 W4M located in the county of Newell, Alberta within the University of Alberta's Mattheis Ranch; and*
- b) make an application to the Minister of Infrastructure for the required approval for the Lieutenant Governor in Council for the granting of the disposition via long-term lease.*

Final Item: 4d.

Agenda Title: **Rescission of Motion: Land Disposition: Right-of-Way - University of Alberta Mattheis Ranch (2019)**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved by the Board of Governors on October 18, 2019:

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

- a) approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via Right-of-Way of less than one (1) acre of land contained within parcels legally described as the NW & SW ¼ Sec 18 Twp 22 Rge 14 W4M located in the County of Newell within the University of Alberta Mattheis Ranch; and*
- b) make an application to the Minister of Infrastructure for the required approval for the Lieutenant Governor in Council for the granting of the disposition via Right-of-Way.*

Final Item: 4e.

Agenda Title: **Student Financial Support Policy Suite and Rescission of the Awards and Bursaries for Students Policy Suite**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Learning, Research, and Student Experience Committee, approve the new Student Financial Support Policy Suite, as set forth in Attachments 2, 3, 4 and 5, and the concurrent rescission of the existing Awards and Bursaries for Students Policy Suite in UAPPOL, to take effect upon final approval.

Final Item: 4f

Agenda Title: **Non-endowed Investment Pool - Income/Reserve Transfer**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the transfer of \$15 million additional funds to the University of Alberta 2019-20 Operating Budget, sourced from non-endowed investment income and the non-endowed investment reserve.

Final Item: 6

Agenda Title: **Statement on Free Expression at the University of Alberta**

APPROVED MOTION: THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Reputation and Public Affairs Committee, and General Faculties Council, approve the Statement on Free Expression at the University of Alberta, as set forth in Attachment 1.

Final Item: 7

**Governance Executive Summary
Action Item**

Agenda Title	Protection of Minors Participating in University Programs Policy
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Motion

<p>THAT the Board of Governors, on the recommendation of the Board Audit and Risk Committee, approve the Protection of Minors Participating in University Programs Policy and its associated procedure, as set forth in Attachments 1 and 2.</p>
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Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Gitta Kulczycki, Vice-President, Finance and Administration
Presenter(s)	Philip Stack, Associate Vice-President, Risk Management Services

Details

Responsibility	Risk Management Services
The Purpose of the Proposal is <i>(please be specific)</i>	The policy is before the Board because it is an essential part of mitigating risk to minors in university programs
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The university currently lacks an institutional policy to address the risks associated with minors in university programs.</p> <p>University programs are activities for minors operated by a university faculty, department, school or student group during which the university assumes responsibility for the care, custody and control of minors.</p> <p>University students who are under the age of 18 are not considered minors for the purposes of this policy.</p> <p>In recent years University of Alberta units that run programs for minors have cooperated and developed a range of controls to address the risks, including background checks, training, reporting and rules for supervision. This policy (with associated procedure) will fill a recognized gap and help ensure best practices across the university.</p> <p>Key elements of the policy: University units that provide university programs for minors will:</p> <ul style="list-style-type: none"> • Provide education and training for university representatives* that includes: <ul style="list-style-type: none"> • Awareness of university expectations regarding ethical conduct • Awareness of health and safety regulations and hazard controls appropriate to the type of activity • Procedures for protecting minors from emotional, physical or sexual abuse, harassment and bullying • Procedures for responding to incidents of suspected emotional, physical or sexual abuse, harassment or bullying • Ensure adequate supervision, including ratios of supervisors to minors, appropriate to the activity • Ensure availability of persons with first aid and CPR training, by making it a requirement of university representatives if necessary

Item No. 4b

	<ul style="list-style-type: none"> • Ensure that any facilities, equipment and supplies are safe for use in the program in which minors participate • Require parent or guardian to sign Informed Consent Forms • Require Police Information Check with a Vulnerable Sector Check (PIC/VSC) for university representatives who will be in a position of trust with minors as part of their responsibilities.** <p>* Individuals, whether paid or unpaid, who, on behalf of the university, interact with, supervise, chaperone, mentor or otherwise oversee minors in university programs.</p> <p>** A position of trust with minors is created when the university representative has responsibility for the safety and wellbeing of minors, including, but not limited to, situations where the university representative:</p> <ul style="list-style-type: none"> • has unsupervised access to minors; • will be involved with sports teams that include minors; • will be engaged in activity requiring physical closeness with minors (such as swimming or gymnastics instruction); • will participate in overnight trips that include minors; or will conduct activities of a personal nature with minors (such as escorting to washroom).
Supplementary Notes / context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • Risk Management Services • Human Resource Services • General Counsel • Office of the Dean of Students • Faculty of Kinesiology, Sport and Recreation <p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Faculties and units the run programs for minors, including Faculty of Engineering (DiscoverE), Faculty of Kinesiology, Sport and Recreation (summer sport camps), WISEST • President’s Executive Committee • GFC Exec • GFC • Faculty deans <p><u>Those who have been informed:</u> Staff Associations Students’ Union</p>
Approval Route (Governance) (including meeting dates)	Board Audit and Risk Committee (for recommendation) – Nov 25, 2019 Board of Governors (for approval) – December 13, 2019

Strategic Alignment

Alignment with <i>For the Public Good</i>	Objective 19: Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management	<input checked="" type="checkbox"/> Relationship with Stakeholders

Item No. 4b

	<input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Child, Youth and Family Enhancement Act</i> <i>Children First Act</i> <i>Board Audit & Risk Committee Terms of Reference Sections 2(p)(x); 3(c)</i>	

Attachments:

1. Protection of Minors Participating in University Programs Policy (3 pages)
2. Police Information Checks for Staff and Volunteers in University Programs for Minors Procedure (5 pages)

Prepared by: Andrew Leitch, Director of ERM Programs, aleitch@ualberta.ca

Protection of Minors Participating in University Programs Policy

Draft November, 2019

Office of Accountability:	Vice-President (Finance and Administration)
Office of Administrative Responsibility:	Risk Management Services
Approver:	Board of Governors
Scope:	Compliance with this university policy extends to all academic staff, administrators, colleagues, and support staff as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; postdoctoral fellows; emeriti; members of the Board of Governors; visiting speakers and scholars; third party contractors; and volunteers when they are involved in university programs for minors.

Overview

Many University of Alberta units offer **university programs for minors**. These programs teach skills to young people, provide opportunities for them to be active and engage with peers, and expose them to university ideas and culture. Units are able to provide employment and experience to university students in their area of study while generating revenue for a broad range of initiatives.

The university owes a special duty of care to minors in these programs, whose parents and guardians place them in the care of program leaders. The university has an obligation to maintain an environment that is physically and emotionally safe for them. The policy is intended to cover university programs for minors, which are organized activities for minors operated by a university faculty, department, school or student group during which the university assumes responsibility for the care, custody and control of minors.

Purpose

The purpose of this policy is to set out processes and behaviours to help ensure the physical and emotional safety of minors participating in university programs, whether they occur on university property or elsewhere.

POLICY

All persons conducting the business of the University of Alberta shall uphold the highest standards of ethical conduct when interacting with minors.

University programs for minors involve temporarily turning over the care of minors from parents/guardians to **university representatives**.

University units that provide university programs for minors will:

1. Provide education and training for university representatives that includes:
 - Awareness of university expectations regarding ethical conduct
 - Awareness of health and safety regulations and hazard controls appropriate to the type of activity
 - Procedures for protecting minors from emotional, physical or sexual abuse, harassment and bullying
 - Procedures for responding to incidents of suspected emotional, physical or sexual abuse, harassment or bullying
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2. Ensure adequate supervision, including ratios of supervisors to minors, appropriate to the activity
3. Ensure availability of persons with first aid and CPR training, by making it a requirement of university representatives if necessary
4. Ensure that any facilities, equipment and supplies are safe for use in the program in which minors participate
5. Have a current emergency response plan in place
6. Require parent or guardian to sign informed consent forms
7. Have procedures in place to conform to standards for security and privacy of personal information
8. Require **Police Information Check with a Vulnerable Sector Check (PIC/VSC)** for university representatives who will be in a **position of trust** with minors as part of their responsibilities, in accordance with the *Police Information Check for Staff and Volunteer Positions Involving Minors Procedure*

ADDITIONAL OBLIGATIONS OF UNIVERSITY REPRESENTATIVES

It is the responsibility of the university representative, whether employee or volunteer, to inform their supervisor immediately of any alleged criminal conduct that may put into question their ability to be working or volunteering with minors, whether the allegations arise from incidents within or outside the workplace.

REPORTS OF ABUSE OR IMPROPER CONDUCT

Any university representative involved in a university program for minors who knows, suspects or receives information indicating that a minor has been abused, or who has other concerns about the safety of a minor, shall notify a supervisor immediately. Any supervisor who has been notified about such concerns must notify University of Alberta Protective Services at (780) 492-5050.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. ▲Top	
Minors	Individuals who are under the age of 18, but who are not students or employees of the University of Alberta.
University programs for minors	Organized activities for minors operated by a university faculty, department, school or student group during which the university assumes responsibility for the care, custody and control of minors. It does <u>not</u> include: <ul style="list-style-type: none"> • Activities in which minors are supervised by third party organizations; • Patrons of educational, entertainment or sports events (e.g. public lectures, theatre, varsity sports); • Human participant research involving minors approved by one of the university's research ethics boards.
Third party organizations	Organizations that bring minors to any of the university's campuses, including: <ul style="list-style-type: none"> • school groups • sports teams • recognized student groups at the University of Alberta

University representatives	Individuals, whether paid or unpaid, who, on behalf of the university, interact with, supervise, chaperone, mentor or otherwise oversee minors in university programs.
Supervisor	A university employee to whom a university representative reports. A supervisor includes the individual responsible for the oversight and operation of a specific university program for minors.
Position of trust (with minors)	<p>A position of trust with minors is created when the university representative has responsibility for the safety and wellbeing of minors, including, but not limited to, situations where the university representative:</p> <ul style="list-style-type: none"> • has unsupervised access to minors; • will be involved with sports teams that include minors; • will be engaged in activity requiring physical closeness with minors (such as swimming, wrestling or gymnastics instruction); • will participate in overnight trips that include minors; or • will conduct activities of a personal nature with minors (such as escorting to washroom).
Police Information Check	<p>A check performed by local law enforcement that determines the existence of the following information in relation to an individual:</p> <ul style="list-style-type: none"> • Criminal convictions, conditional and absolute discharges and other related information identified in Canada's National Repository of Criminal Records; • Criminal and/or other relevant provincial statute convictions including any pending criminal or relevant provincial statute charges before the Alberta courts identified in the Justice Online Information Network; and • Current court and/or prohibition orders and current out of province outstanding warrants identified in the Canadian Police Information Centre. <p>When the applicant is new to the area, they should be asked to provide an equivalent check from the jurisdiction where have resided during the previous three years.</p>
Vulnerable Sector Check	A check performed by local law enforcement that determines the existence of a pattern of behavior that may result in harm to vulnerable persons.

RELATED LINKS

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[Ethical Conduct and Safe Disclosure Policy](#)

PUBLISHED PROCEDURES OF THIS POLICY

Police Information Checks for Staff and Volunteers in University Programs for Minors Procedure

Parent Policy: Protection of Minors Participating in University Programs Policy

Police Information Checks for Staff and Volunteers in University Programs for Minors Procedure

Draft November, 2019

Office of Administrative Responsibility:	Insurance & Risk Assessment
Approver:	Associate Vice-President, Risk Management Services
Scope:	Compliance with this University policy extends to all academic staff, administrators, colleagues, and support staff as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; postdoctoral fellows; emeriti; members of the Board of Governors; visiting speakers and scholars; third party contractors; and volunteers when they are involved in university programs for minors.

Overview

Specified staff and **volunteers** who, on behalf of the University of Alberta, are placed in a **position of trust with minors** as part of their responsibilities, are required to undergo a **Police Information Check** with a **Vulnerable Sector Check (PIC/VSC)**.

A position of trust with minors is created when the individual has responsibility for the safety and wellbeing of minors, including, but not limited to, situations where the individual:

- has unsupervised access to minors, or
- is involved with sports teams that include minors, or
- is engaged in activity requiring physical closeness with minors (such as swimming, wrestling or gymnastics instruction), or
- participates in overnight trips that include minors, or
- will conduct activities of a personal nature with minors (such as escorting to washroom)

Purpose

The purpose of this procedure is to detail how the process of acquiring, evaluating and retaining PIC/VSCs should be managed. It relates to three categories of individual:

1. Applicants to university staff positions that place individuals in a position of trust with minors (Applicants for Staff Positions)
2. Applicants to university volunteer positions that place individuals in a position of trust with minors (Applicants to Volunteer Positions)

3. Current university volunteers whose responsibilities place them in a position of trust with minors (Current Volunteers)

PROCEDURE

1. Applicants for Staff Positions

- Positions that require a PIC/VSC should reference this requirement in the position description documentation and job posting
- The completion of the PIC/VSC should occur after other screening activities have been completed and is considered a “final check” before offering the position to the candidate. The hiring unit can either:
 - a. Not make an offer of employment until this process is complete, or
 - b. Make an offer of employment before the process is complete but make the offer conditional on the hiring unit being satisfied with the results of the PIC/VSC and any subsequent discussion that may result
- The candidate should be asked to secure and pay for the PIC/VSC
- The candidate may choose to forward the results of the PIC/VSC directly to the hiring department or provide them personally (note that the police department that conducts the checks will not send adverse information, if it is found in the PIC/VSC, directly to the university department. Adverse information is provided to the applicant only).

When the PIC/VSC reveals adverse information (Information to Disclose Certificate)

- In the event the applicant receives an Information to Disclose Certificate, they may choose to either:
 - Withdraw their application, or;
 - Advise the hiring manager they have received the certificate and would like to discuss the findings. The hiring manager must then arrange a meeting with the applicant, hiring manager, senior HRS advisor, and designated senior department head, where they will consider:
 - the relevance of the background check information to the position sought
 - the length of time since the incident(s)
 - the seriousness and specific circumstances of the incident(s)
 - the number of incidents
 - evidence of rehabilitation
 - the University and department’s ability to mitigate risks, and
 - the information and explanation provided by the candidate
 - Following this discussion the senior department head will decide whether the applicant should be offered the position. The senior department head may seek legal and other advice before making their decision
- The Senior HR Advisor will ensure any documentation is retained in accordance with all confidential employee files

PREVIOUSLY COMPLETED CHECKS

The hiring unit will accept a previously-completed PIC/VSC if:

1. The applicant is currently employed by the University of Alberta in another position and has completed a check within the previous 12 months
2. The applicant is currently not employed by the University of Alberta and has completed a check within the previous three months

2. Applicants for Volunteer Positions

- Volunteer positions that require a PIC/VSC should reference this requirement in the volunteer position description documentation and posting
- The completion of the PIC/VSC should occur after other screening activities have been completed and is considered a “final check” before offering the position to the candidate. The unit can either:
 - c. Not confirm the volunteer position until this process is complete, or
 - d. Make the offer conditional on the unit being satisfied with the results of the PIC/VSC and any subsequent discussion that may result
- The applicant should be asked to secure the PIC/VSC (responsibility for payment is at the discretion of the unit)
- The applicant may choose to forward the results of the PIC/VSC directly to the unit or provide them personally (note that the police department that conducts the checks will not send adverse information, if it is found in the PIC/VSC, directly to the university unit. Adverse information is provided to the applicant only).

When the PIC/VSC reveals adverse information (Information to Disclose Certificate)

- In the event the applicant receives an Information to Disclose Certificate, they may choose to either:
 - Withdraw their application for the volunteer position, or;
 - Advise the supervisor, who must arrange a meeting with the applicant, the supervisor, and the Director of Insurance & Risk Assessment, where they will consider:
 - the relevance of the background check information to the position sought
 - the length of time since the incident(s)
 - the seriousness and specific circumstances of the incident(s)
 - the number of incidents
 - evidence of rehabilitation
 - the University and department’s ability to mitigate risks
 - the information and explanation provided by the candidate
 - Following the discussion the supervisor, in consultation with the Director of Insurance & Risk Assessment, will decide whether the applicant should be offered the position
- All information related to the checks must be retained with the unit’s confidential volunteer files
- The engaging unit will request and pay for an updated PIC/VSC every three years that the volunteer remains in the position

PREVIOUSLY COMPLETED CHECKS

The unit will accept a previously-completed PIC/VSC if it is not more than three months since it was completed.

3. Current Volunteers

- Current volunteers placed in a position of trust with minors who have not previously submitted a PIC/VSC must do so within 90 days following publication of this procedure
- The PIC/VSC must be conducted every three years after the initial checks
- It is the responsibility of the volunteer’s supervisor to ensure the checks are conducted
- Payment for the checks is the responsibility of the volunteer’s department
- All information related to the checks must be retained with the unit’s confidential volunteer files

When the PIC/VSC reveals adverse information

- When the PIC/VSC reveals adverse information, the police agency that conducted the checks will issue an “Information to Disclose Certificate” directly to the volunteer
- If the volunteer intends to continue in the position, they must immediately inform their supervisor they have received the certificate
- The supervisor must arrange, as soon as reasonably possible, a meeting between the volunteer, the supervisor, and the Director of Insurance & Risk Assessment, where they will consider:
 - the relevance of the reported incidents to the position
 - the length of time since the incident(s)
 - the seriousness and specific circumstances of the incident(s)
 - the number of incidents
 - evidence of rehabilitation
 - the University and department’s ability to mitigate risks
 - the information and explanation provided by the volunteer
- Following the discussion the supervisor, in consultation with the Director of Insurance & Risk Assessment, will decide whether the applicant should remain in their current position
- All information related to the checks must be retained with the unit’s confidential volunteer files

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	
Volunteer	<p>An individual who provides services or assistance to the university without payment of fees, wages or salary or any expectation of compensation of any kind (excepting travel costs or meal expenses).</p> <p>University of Alberta employees are considered volunteers when they provide services or assistance outside of their normal job responsibilities.</p> <p>Individuals participating in research activities approved by one of the university’s research ethics boards are not considered volunteers for the purposes of this policy.</p>

University representatives	Individuals, whether paid or unpaid, who, on behalf of the university, interact with, supervise, chaperone, mentor or otherwise oversee minors in university programs.
Police Information Check	<p>A check performed by local law enforcement that determines the existence of the following information in relation to an individual:</p> <ul style="list-style-type: none"> ● Criminal convictions, conditional and absolute discharges and other related information identified in Canada’s National Repository of Criminal Records; ● Criminal and/or other relevant provincial statute convictions including any pending criminal or relevant provincial statute charges before the Alberta courts identified in the Justice Online Information Network; and ● Current court and/or prohibition orders and current out of province outstanding warrants identified in the Canadian Police Information Centre. <p>When the applicant is new to the area, they should be asked to provide an equivalent check from the jurisdiction where have resided during the previous three years.</p>
Vulnerable Sector Check	<p>A check performed by local law enforcement that determines the existence of a pattern of behavior that may result in harm to vulnerable persons.</p>
Position of trust with minors	<p>A position of trust with minors is created when the university representative has responsibility for the safety and wellbeing of minors, including, but not limited to, situations where the employee:</p> <ul style="list-style-type: none"> ● has unsupervised access to minors; ● will be involved with sports teams that include minors; ● will be engaged in activity requiring physical closeness with minors (such as swimming, wrestling or gymnastics instruction); ● will participate in overnight trips that include minors; and ● will conduct activities of a personal nature with minors (such as escorting to washroom).

FORMS

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Item No. 4c

Governance Executive Summary
Action Item

Agenda Title	Rescission of Motion: Land disposition: Long-Term Lease (Utility Right-of-Way) – University of Alberta Botanic Garden (2018)
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Motion

<p>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved by the Board of Governors on October 12, 2018:</p> <p><i>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:</i></p> <p>a) <i>approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 0.28 acres of land contained within a parcel legally described as Lot D, Plan 7722357 located in the County of Parkland within the University of Alberta Botanic Garden</i></p> <p>b) <i>make an application to the Minister of Infrastructure for the required approval for the Lieutenant Governor in Council for the granting of the disposition via long-term lease.</i></p>

Item

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

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To rescind the Board of Governors' approval for the disposition of approximately 0.28 acres of land via long-term lease.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	The Government of Alberta has indicated it will not support granting an Order in Council to allow the university to dispose of this land in the manner submitted. As such, the Board of Governors is asked to rescind the October 12, 2018 motion in which it sought the approval of the Lieutenant Governor in Council.
Supplementary Notes and context	This lease will be executed by the Vice-President (Facilities and Operations) for a five year term as permitted under the <i>Post-secondary Learning Act</i> and in accordance with the university's Real Property Compliance Policy / Real Property Disposition Procedure.

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<u>Those who are actively participating:</u>
	<ul style="list-style-type: none"> • Vice-President, Facilities and Operations • Director, Real Estate Services
	<u>Those who have been consulted:</u>
	<ul style="list-style-type: none"> •
	<u>Those who have been informed:</u>
	<ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee – December 3, 2019 by electronic vote (for recommendation) Board of Governors –December 13, 2019 (for approval)

Item No. 4c

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<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. 23. OBJECTIVE: Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university. i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</p> <p>Long Range Development Plan</p>			
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="1" data-bbox="570 730 1544 953"> <tr> <td data-bbox="570 730 1086 953"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure </td> <td data-bbox="1086 730 1544 953"> <input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
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<p>Legislative Compliance and jurisdiction</p>	<p>Post-secondary Learning Act (PSLA) - Section 67(1)(b) BFPC Terms of Reference – Sections 2(p); 3(n)</p>			

Prepared by:
Gordon Weighell
Senior Administrative Officer
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**Governance Executive Summary
Action Item**

Agenda Title	Rescission of Motion: Land disposition: Long-Term Lease (Utility Right-of-Way) – Mattheis Ranch (2018)
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Motion

<p>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved on October 12, 2018:</p> <p><i>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:</i></p> <p>a) <i>approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via long-term lease for a term of 25 years with the option of a 25 year renewal, of approximately 3.65 acres of land contained within the parcel legally described as L.S. 6 Sec. 18 Twp. 22 Rge. 14 W4M located in the county of Newell, Alberta within the University of Alberta’s Mattheis Ranch; and</i></p> <p>b) <i>make an application to the Minister of Infrastructure for the required approval from the Lieutenant Governor in Council for the granting of the disposition via long-term lease.</i></p>

Item

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

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To rescind the Board of Governors’ approval for the disposition of approximately 3.65 acres of land via long-term lease to Torxen Energy.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	The Government of Alberta has indicated it will not support granting an Order in Council to allow the university to dispose of this land in the manner submitted. As such, the Board of Governors is asked to rescind the October 12, 2018 motion in which it sought the approval of the Lieutenant Governor in Council.
Supplementary Notes and context	This lease will be executed by the Vice-President (Facilities and Operations) for a five year term as permitted under the Post-secondary Learning Act and in accordance with the university’s Real Property Compliance Policy / Real Property Disposition Procedure

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<u>Those who are actively participating:</u>
	<ul style="list-style-type: none"> • Vice-President (Facilities and Operations) • Director, Real Estate Services
	<u>Those who have been consulted:</u>
	<ul style="list-style-type: none"> •
	<u>Those who have been informed:</u>
	<ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee – December 3, 2019 by electronic vote (for recommendation) Board of Governors –December 13, 2019 (for approval)

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<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.</p> <p>23. OBJECTIVE: Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</p> <p>i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</p> <p>Long Range Development Plan</p>			
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="1" data-bbox="570 793 1542 1003"> <tr> <td data-bbox="570 793 1089 1003"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure </td> <td data-bbox="1089 793 1542 1003"> <input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p>Post-secondary Learning Act (PSLA) - Section 67(1)(b) BFPC Terms of Reference – Sections 2(p); 3(n)</p>			

Prepared by:
Gordon Weighell
Senior Administrative Officer
gweighel@ualberta.ca

**Governance Executive Summary
Action Item**

Agenda Title	Rescission of Motion: Land Disposition: Right-of-Way - University of Alberta Mattheis Ranch (2019)
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Motion

<p>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, rescind the following motion originally approved on October 18, 2019:</p> <p><i>THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee:</i></p> <p>a) <i>approve, on terms and conditions acceptable to the Vice-President (Facilities and Operations), the disposition via Right-of-Way of less than one (1) acre of land contained within parcels legally described as the NW & SW ¼ Sec 18 Twp 22 Rge 14 W4M located in the County of Newell within the University of Alberta Mattheis Ranch; and</i></p> <p>b) <i>make an application to the Minister of Infrastructure for the required approval for the Lieutenant Governor in Council for the granting of the disposition via Right-of-Way.</i></p>

Item

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

Details

Responsibility	Vice-President (Facilities and Operations)
The Purpose of the Proposal is <i>(please be specific)</i>	To rescind the Board of Governors' approval for the disposition of less than one (1) acre of land via Right-of-Way to Fortis Alberta for the installation of six (6) power poles to service the surface lease of Torxen Energy Ltd.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	The Government of Alberta has indicated it will not support granting an Order in Council to allow the university to dispose of this land in the manner submitted. As such, the Board of Governors is asked to rescind the October 18, 2019 motion in which it sought the approval of the Lieutenant Governor in Council.
Supplementary Notes and context	This lease will be executed by the Vice-President (Facilities and Operations) for a five year term as permitted under the Post-secondary Learning Act and in accordance with the university's Real Property Compliance Policy / Real Property Disposition Procedure

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<u>Those who are actively participating:</u>
	<ul style="list-style-type: none"> • Vice-President (Facilities and Operations) • Director, Real Estate Services
	<u>Those who have been consulted:</u>
	<ul style="list-style-type: none"> •
	<u>Those who have been informed:</u>
	<ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee – December 3, 2019 by electronic vote (for recommendation) Board of Governors – December 13, 2019 (for approval)

Strategic Alignment

<p>Alignment with <i>For the Public Good</i></p>	<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.</p> <p>23. OBJECTIVE: Ensure that the University of Alberta’s campuses, facilities, utility, and information technology infrastructure can continue to meet the needs and strategic goals of the university.</p> <p>i. Strategy: Secure and sustain funding to plan, operate, expand, renew, and optimize the use of campus infrastructure to meet evolving teaching and research priorities.</p>			
<p>Alignment with Core Risk Area</p>	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="1" data-bbox="570 730 1544 940"> <tr> <td data-bbox="570 730 1089 940"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure </td> <td data-bbox="1089 730 1544 940"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>		<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input checked="" type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success			
<p>Legislative Compliance and jurisdiction</p>	<p>Post-secondary Learning Act (PSLA) - Section 67(1)(b) BFPC Terms of Reference – Sections 2(p); 3(n)</p>			

Prepared by:
Gordon Weighell
Senior Administrative Officer
gweighel@ualberta.ca

Governance Executive Summary
Action Item

Agenda Title	Student Financial Support Policy Suite and Rescission of the Awards and Bursaries for Students Policy Suite
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Motion

<p>THAT the Board of Governors, on the recommendation of the Board Learning, Research, and Student Experience Committee, approve the new Student Financial Support Policy Suite, as set forth in Attachments 2, 3, 4 and 5, and the concurrent rescission of the existing Awards and Bursaries for Students Policy Suite in UAPPOL, to take effect upon final approval.</p>

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Melissa Padfield, Interim Vice-Provost and University Registrar
Presenter(s)	Steven Dew, Provost and Vice-President (Academic) Melissa Padfield, Interim Vice-Provost and University Registrar

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	To seek approval of the new Student Financial Support Policy Suite, and the rescission of the existing Awards and Bursaries for Students Policy Suite in UAPPOL.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The Office of the Registrar, in consultation with the several stakeholder groups, has developed a new Student Financial Support Policy Suite to replace the existing Awards and Bursaries for Students Policy and its procedures in UAPPOL.</p> <p>The purpose of the revisions to the policy and procedures is to:</p> <ul style="list-style-type: none"> • Create alignment between institutional commitment with administrative practice; • Reflect current practices, authorities, and roles; • Be inclusive of graduate student financial support; and • Allow the University to be agile and adaptive to changes in the post-secondary, provincial, and global environments.
Supplementary Notes / context	

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • The Office of the Provost and Vice-President (Academic) • Faculty of Graduate Studies and Research (FGSR) • The Office of the Registrar
	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Office of the Provost and Vice-President (Academic) • Faculty of Graduate Studies and Research (FGSR) • University Governance • Office of Advancement • Students' Union (SU) • Graduate Students' Association (GSA) • Scholarship Network • GFC UABC Chair Dr. Frank Robinson

Item No. 4f

	<ul style="list-style-type: none"> • Dean of Students Dr. Andre Costopoulos • Advisory Committee on Undergraduate Financial Support (ACUS) • Vice-Provosts' Council (VPC) • Undergraduate Awards and Bursaries Committee (UABC) • Committee on Student Affairs (COSA) • Deans' Council • PEC-O <p><u>Those who have been informed:</u></p> <ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	<p>Undergraduate Awards and Bursaries Committee (UABC) Oct 8, 2019 GFC Academic Planning Committee October 23, 2019 GFC Executive Committee November 4, 2019 General Faculties Committee November 25, 2019 Board Learning, Research and Student Experience Committee November 29, 2019 Board of Governors December 13, 2019 (approval)</p>

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>Build <i>Objective 1: Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</i> <i>Strategy 4: Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support.</i></p> <p>Sustain <i>Objective 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> <i>Strategy 4: Facilitate easy access to and use of university services and systems; reduce duplication and complexity; and encourage cross-institutional administrative and operational collaboration.</i></p>	
Alignment with Core Risk Area	<p>The new policy suite outlines clear authorities and roles and will help mitigate risks surrounding:</p> <ul style="list-style-type: none"> • Enrolment management; • Student success; • Financial support management; • Harm to reputation; and • Misalignment with stakeholder expectations (students, Government and donors) <p>by allowing the University to be agile and adaptive to changes in the post-secondary, provincial and global environments.</p> <p>The proposed suite reflects accepted administrative and academic processes and will further reduce these same risks by supporting alignment between the decision makers, administrative and academic units that provide, support, and administer student financial supports at the University of Alberta</p>	
	<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety

Item No. 4f

	<input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	Post-secondary Learning Act GFC Terms of Reference GFC UABC Terms of Reference GFC APC Terms of Reference BLRSEC Terms of Reference	

Attachments

1. Case for Action (5 pages)
2. Proposed Student Financial Support Policy (3 pages)
3. Proposed Creation of New Student Financial Support Procedure (4 pages)
4. Proposed Undergraduate Student Financial Support Procedure (6 pages)
5. Proposed Graduate Student Financial Supports Procedure (6 pages)

Prepared by: Fiona Halbert, Assistant Registrar Student Financial Support, Fiona.halbert@ualberta.ca

Case for Action: New Student Financial Support Policy Suite (and rescission of the Awards and Bursaries for Students Policy)

Context:

The current Awards and Bursaries for Students Policy Suite was established in 2011 when Section 21 of the GFC Policy Manual was rescinded and placed into UAPPOL. Aside from reorganization of information contained within Section 21 and minor updates to reflect the current practices at the time, the policy and four procedures were primarily direct extrapolations from Section 21.

The existing policy suite only promises that the University will "*marshal* awards and bursaries for students to support learning and alleviate financial need to the extent that financial resources permit" but stops short of meeting an important institutional goal outlined within *For the Public Good*, (Build, Strategy 4), to "Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support."

The lack of a statement of specific institutional goals within the existing policy suite poses several challenges when questions around how allocation of new and existing funds should be managed. This foundation is also necessary in order to support the fundraising goals of the University of Alberta.

In addition, the existing policy suite is silent on the role of graduate student financial support and the role of the Faculty of Graduate Studies and Research in student financial support.

The existing policy suite is also out of alignment with the stated goals of the President of the University of Alberta, Dr. David Turpin, and his colleagues in the Council of Post-secondary Presidents of Alberta (COPPOA). In a recent and widely distributed position paper¹, COPPOA confirmed that student financial support has never been more both necessary and relevant than it is today in Alberta. The University of Alberta is fundamental to building Alberta's future, but access to post-secondary education for society's most vulnerable learners remains a real threat.

Over the past ten months, members of the Office of the Provost and Vice-President (Academic), the Office of the Registrar, the Faculty of Graduate Studies and Research (FGSR) and the Office of Advancement have conducted a thorough review of the policy and the four procedures, and drafted an updated UAPPOL Student Financial Support Policy Suite. The proposed suite aligns with the current financial support administrative priorities and processes, clarifies authorities and roles, and allows the university to be agile and adaptive to changes in the post-secondary, provincial and global environments (see Appendix A - Overview of Changes).

A recent report from an external consultant commissioned by the Office of the Vice-Provost and University Registrar identified policy development as a primary recommendation. The report identified the need for policy statements that would provide a foundation for decision-making, align with enrolment management and recruitment goals, and would update existing out-of-date UAPPOL policy and procedures. This proposed student financial support policy suite directly addresses the need for the alignment of policy to fundamental institutional goals and delineates the foundations for decision making.

¹ [Post-secondary Education Position Paper](#), The Council of Post-secondary Presidents of Alberta (COPPOA)

Key Changes:

- The proposed policy contains language reflective of the University's commitment to providing and optimizing robust student financial supports in order to ensure that academically qualified students can attend the University.
- The proposed policy suite includes usage of an industry-standard umbrella term "student financial support" intended to represent the whole range of student financial support normally available to post-secondary learners.
- The proposed policy suite now contains a procedure dedicated to graduate student financial support.
- The proposed policy suite has been streamlined into three areas intended to outline the process of the creation of student financial support, as well as the processes relevant to the administration and approval of separate undergraduate and graduate student financial support.
- The proposed procedures have been drafted retaining relevant and accurate pieces of the current suite of procedures, and have been adjusted to reflect current practices, authorities, and roles.

Desired Outcomes:

- Alignment between the University of Alberta's policies and procedures around student financial support and institutional goals.
- Mitigation of the current risks surrounding student success, as identified by the 2018-2019 Institutional Risk Summary, which include: reduced student success, harm to reputation, reduced ability to recruit, misalignment with Government expectations, and failure of the university mission.
- Establishment of an updated institutional policy and suite of procedures that are easy to understand, transparent, and outline clear authorities and roles.
- Establishment of an updated institutional policy and suite of procedures that reflect accepted administrative and academic processes.
- Revised institutional policy and procedures that allow the University to be agile and adaptive to changes in the post-secondary, provincial and global environments.
- Better alignment between the Board of Governors, General Faculties Council, the Office of the Vice-Provost and University Registrar, the Office of Advancement, individual Faculties, and the Faculty of Graduate Studies and Research to provide, support, and administer student financial supports at the University of Alberta.

Appendix A - Overview of Changes

UAPPOL Creation of New Student Financial Support Procedure

The Creation of New Student Financial Support Procedure now informs how both undergraduate and graduate new student financial supports are created (previously, this procedure only referenced undergraduate awards and bursaries).

The scope of this procedure has been refined to include only the creation of new supports and clarifies the authorities, roles and responsibilities of the Office of the Registrar, Faculty of Graduate Studies and Research, the Office of Advancement, the GFC Undergraduate Awards and Bursaries Committee (UABC) and the Graduate Scholarship Committee (GSC).

Section Name	Key Changes
1. ADMINISTRATION (new section)	The section now outlines how new undergraduate and graduate student financial supports are created and the roles of the Office of the Registrar, Faculty of Graduate Studies and Research, the Office of Advancement, the GFC Undergraduate Awards and Bursaries Committee (UABC) and the Graduate Scholarship Committee (GSC) in the creation of new financial supports.
2. RESTRICTIONS ON RECIPIENT SELECTION	Minor edits were made to clarify language, but overall content is unchanged.
3. INCLUSIVITY IN SELECTION CRITERIA	<ul style="list-style-type: none"> ● An inclusivity statement was added to support the creation of broad terms of reference that aid annual selection for the student financial support. ● The Office of Safe Disclosure & Human Rights was consulted to update language on section 3A. HUMAN RIGHTS. ● 3B. MEMBERSHIP: minor updates to sanctioned groups, but overall content is unchanged.
4. APPROVAL	<ul style="list-style-type: none"> ● 4A. TERMS OF REFERENCE: added a statement that terms of reference once approved may not be changed by the donor. This is to provide clarity for donors when frontline fundraisers are engaging with them. ● Detailed procedures related to existing terms of reference have been moved to the Undergraduate Student Financial Support Procedure. ● 4B. MINIMUM VALUES: amended to focus on the requirements for the minimum value of a new student financial support.
5. ANNUAL SPENDING (new section)	This section outlines the general spending practices for new student financial supports, providing a framework and reference point for frontline fundraisers and donors.

Appendix A - Overview of Changes Continued

UAPPOL Undergraduate Student Financial Support Procedure

The Undergraduate Student Financial Support Procedure amalgamates three existing procedures (Awards for Undergraduate Student Procedure, University Medal Requirements Procedure, and Bursaries for Students Procedure) into a single document that outlines the administrative processes for undergraduate student financial supports.

Section Name	Key Changes
1. ADMINISTRATION	<ul style="list-style-type: none"> ● The section outlines the roles of the Office of the Registrar, faculties / departments / units and the Office of Advancement in the administration of undergraduate student financial supports. ● The section speaks to a collaborative process for administration, specifically when dealing with restrictive terms of reference.
2. MAINTENANCE OF TERMS OF REFERENCE FOR STUDENT FINANCIAL SUPPORTS	<ul style="list-style-type: none"> ● The section refers to the process for amending existing student financial supports, including the roles of the Office of the Registrar and the Office of Advancement (moved from the former Creation of New Awards and Bursaries Procedure). ● 2C. ANNUAL VALUE SETTING: outlines the roles of the units in setting the annual value of undergraduate student financial supports, providing transparency of authority and demonstrating our commitment to being responsible stewards of donor and university resources.
3. MERIT-BASED STUDENT FINANCIAL SUPPORTS	<ul style="list-style-type: none"> ● 3B. ELIGIBILITY: increased flexibility in recipient selection by removing references to full normal course load that previously imposed restrictions on nominating units. ● 3E. ACADEMIC TRANSCRIPT: section has been changed to state that all merit-based student financial supports will appear on the academic transcript (need-based and hybrid awards will not).
4. NEED-BASED STUDENT FINANCIAL SUPPORTS	<ul style="list-style-type: none"> ● The details of the administrative processes for need-based student financial supports have been significantly expanded to create greater transparency. ● 4B. ELIGIBILITY: provides details about the common assessment practice and the guidelines used to determine the size of a financial shortfall.
5. HYBRID AWARDS	<ul style="list-style-type: none"> ● The concept of hybrid awards is new, replacing the previous procedures for support where demonstrated financial need was a secondary criteria for awards.

	<ul style="list-style-type: none"> ● The section addresses longstanding concerns about inconsistency in the assessment of financial need for awards with both merit and need components within different nominating units across the university. Financial need will now be evaluated through a common assessment practice. ● The section addresses need and merit components (and secondary requirements) to best fit the intent of the financial support. ● The addition of this section addresses a fundraising gap identified by the Office of Advancement as donors have shown high interest in funding this type of student financial support.
<p>6. ANNUAL REPORTING</p>	<ul style="list-style-type: none"> ● This section outlines the Office of the Registrar's commitment to annual reporting of undergraduate student financial supports.

Original Approval Date:

Most Recent Approval Date:

Most Recent Editorial Date:

Student Financial Supports Policy

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Office of the Registrar Faculty of Graduate Studies and Research Office of Advancement
Approver:	Board of Governors
Scope:	<p>Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy https://policiesonline.ualberta.ca/policiesprocedures/policies/recruitment-policy.pdf (Appendix A https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Recruitment-Policy-Appendix-A-Definition-and-Categories-of-Academic-Staff-Administrators-and-Colleagues.pdf and Appendix B https://policiesonline.ualberta.ca/policiesprocedures/procedures/recruitment-policy-appendix-b-definition-and-categories-of-support-staff.pdf: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; emeriti; members of the Board of Governors; visitors to campus, including visiting speakers and scholars; third party contractors; and volunteers.</p>

Overview

The *Post-Secondary Learning Act* of Alberta gives the Board of Governors authority to “manage and operate the public post-secondary institution in accordance with its mandate,” and to “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,” (section 60(1)(a) and (b)).

The *Post-Secondary Learning Act* of Alberta gives GFC responsibility, subject to the authority of the Board of Governors, over “rules and regulations respecting academic awards” (section 26(1)(m)).

GFC has delegated responsibility for graduate awards to the Faculty of Graduate Studies and Research Council (FGSR).

Purpose

To articulate the University’s position on **student financial supports** for the institution.

POLICY

The University of Alberta is committed to providing and optimizing robust student financial supports, in order to ensure that academically qualified **students** can attend the university. These **student financial supports** will align with institutional priorities and values, including those outlined in the institutional strategic plan. The University recognizes that access to affordable education is a shared responsibility between the University, the student, and government. The associated procedures outline how the University will ensure that its responsibilities to all stakeholders, including students, **government**, and **donors**, are met.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top]	
Student Financial Supports	<p>Student financial supports are items of monetary and/or other value awarded to a student by the University of Alberta or by donors through the University on the basis of completion of requirements outlined in the selection criteria or terms of reference.</p> <p>Merit-based student financial supports include, but are not limited to, awards, scholarships, prizes, and University medals. Merit-based financial supports are competitive; successful completion of the requirements does not guarantee receipt of the funding.</p> <p>Need-based student financial supports include, but are not limited to, bursaries loans, and emergency funding.</p> <p>Hybrid awards require academic performance and demonstrated financial need, and will be titled as “Awards”.</p>
Student	An individual currently enrolled (full-time or part-time) in undergraduate or graduate studies.
Government	The government representing a jurisdiction and associated governmental agencies tasked with administering student financial supports.
Donor	An individual or organization who makes a charitable donation to the University of Alberta. A charitable donation is a voluntary transfer of property with intent to donate and without benefit or advantage to the donor. Charitable donations can include gifts-in-kind.

RELATED LINKS

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

[Office of the Provost and Vice-President \(Academic\)](#) (University of Alberta)

[Office of the Registrar](#) (University of Alberta)

[Faculty of Graduate Studies and Research](#) (University of Alberta)

[University Governance](#) (University of Alberta)

[Financial Management and Practices Policy](#) (University of Alberta)

[Strategic Plan for Equity, Diversity, and Inclusivity](#) (University of Alberta)

PUBLISHED PROCEDURES OF THIS POLICY

Undergraduate Student Financial Supports Procedure

Graduate Student Financial Supports Procedure

Creation of New Student Financial Supports Procedure

Parent Policy: Student Financial Supports Policy

Creation of New Student Financial Supports Procedure

Office of Administrative Responsibility:	Office of the Registrar Faculty of Graduate Studies and Research Office of Advancement
Approver:	General Faculties Council
Scope:	Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy < https://policiesonline.ualberta.ca/policiesprocedures/policies/recruitment-policy.pdf > (Appendix A < https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Recruitment-Policy-Appendix-A-Definition-and-Categories-of-Academic-Staff-Administrators-and-Colleagues.pdf > and Appendix B < https://policiesonline.ualberta.ca/policiesprocedures/procedures/recruitment-policy-appendix-b-definition-and-categories-of-support-staff.pdf >: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; emeriti; members of the Board of Governors; visitors to campus, including visiting speakers and scholars; third party contractors; and volunteers.

Purpose

To provide the procedure by which new **student financial supports** at the University of Alberta are created.

PROCEDURE

1. ADMINISTRATION

The Office of Advancement will work with donors to establish student financial supports for academically qualified students.

The Office of Advancement will engage with the Office of the Registrar (RO) and/or the Faculty of Graduate Studies and Research (FGSR), as appropriate, to draft terms of reference. The RO and/or the FGSR will provide recommendations and will consult with Faculties, departments and administrative units on campus as necessary when drafting terms of reference. The RO and FGSR seek to establish terms of reference for student financial supports that include selection criteria that support a diverse pool of eligible applicants. The selection criteria must be sufficiently broad to allow the university to award the funds every year.

Faculties, departments and other administrative units will be consulted to provide advice and to ensure proper application and selection supports are in place during the creation of a new student financial support.

The RO and FGSR will facilitate the approval process for new student financial supports with the appropriate governance committee. New undergraduate scholarships, awards, medals, bursaries and prizes are approved by the GFC Undergraduate Awards and Bursaries Committee (UABC). New graduate scholarships and fellowships, awards, prizes, medals, and bursaries are approved by the Graduate Scholarship Committee (GSC) in FGSR.

Terms of reference and selection criteria drafted and approved prior to this procedure are not precedent for new financial supports.

2. RESTRICTIONS ON RECIPIENT SELECTION

Donors to the University of Alberta or their agents cannot be the **nominator** or participate in the recipient selection process for student financial supports for which they are the donor.

3. INCLUSIVITY IN SELECTION CRITERIA

The University of Alberta seeks to demonstrate the values of equity, diversity, and inclusivity in the creation and administration of its student financial supports. This is achieved through establishing new student financial supports that include selection criteria that support a diverse pool of eligible applicants. The selection criteria must be sufficiently broad to allow the university to award the funds every year.

A. HUMAN RIGHTS

Selection or eligibility criteria will not include any criterion defined as discriminatory under the Alberta Human Rights Act or the University of Alberta Discrimination and Harassment and Duty to Accommodate Policy unless the financial supports or the condition at the time of establishment could reasonably be viewed as justifiable discrimination intended to create equity for any equity seeking group (as identified in the protected grounds definition of the Discrimination, Harassment and Duty to Accommodate policy).

If the student financial support is accepted under this provision, it will be reviewed at intervals not greater than 15 years by the Office of the Registrar and / or the Graduate Scholarship Committee and brought to the appropriate authority for consideration. The restriction will be dropped if the group is no longer reasonably perceived as disadvantaged. A specific student financial support can be reviewed at any time by a Faculty or the Office of the Registrar and / or the Graduate Scholarship Committee.

B. MEMBERSHIP

Membership in a particular association cannot be a selection criteria requirement with the exception of:

1. Teams at the University of Alberta sanctioned by the University Sports (U Sports) and/or the Canadian Colleges Athletic Association (CCAA) and the Alberta Colleges Athletic Conference (ACAC).
2. Student groups registered at the University of Alberta overseen by the Dean of Students that
 - a. conform with University of Alberta mission, values and policies;
 - b. have clear and transparent membership criteria;
 - c. are without sanction or are not facing disciplinary action by the University at the time of creation of the student financial support; and
 - d. are without sanction or are not facing disciplinary action by the University at the time of administration of the student financial support.

4. APPROVAL

A. TERMS OF REFERENCE

The **terms of reference** established for student financial supports represent a formal agreement between the donor and the University of Alberta.

Descriptions for new student financial supports submitted for approval must include general selection and eligibility criteria.

Each new student financial support will be considered on its own merits. Terms of reference for all new undergraduate **scholarships, awards, prizes, University medals, and bursaries** are referred to the GFC UABC for approval.

Terms of reference for new graduate scholarships and fellowships, awards, prizes, medals, and bursaries are referred to the Graduate Scholarship Committee (GSC) in FGSR for approval.

If in the future it becomes necessary, advisable, or preferable for changes to be made to the approved terms, in doing so, the University will remain governed by the original intent as expressed at the time of the creation of this award.

B. MINIMUM VALUES

Minimum values for new annually funded undergraduate student financial supports are approved by GFC UABC.

Minimum values for new annually funded graduate student financial supports are approved by the GSC.

5. ANNUAL SPENDING

In any given year, if invested funds do not provide sufficient income to disburse an endowed student financial support, payment of the student financial support may be reduced or withheld until sufficient funds accrue.

The University reserves the right to withhold student financial supports donated by individuals or organizations where the required funds have not yet been received by the University.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top]	
Student Financial Supports	<p>Student financial supports are items of monetary and/or other value awarded to a student by the University of Alberta or by donors through the University on the basis of completion of requirements outlined in the selection criteria or terms of reference.</p> <p>Merit-based student financial supports include, but are not limited to, awards, scholarships, prizes, and University medals. Merit-based financial supports are competitive; successful completion of the requirements does not guarantee receipt of the funding.</p> <p>Need-based student financial supports include, but are not limited to, bursaries, loans, and emergency funding.</p> <p>Hybrid awards require academic performance and demonstrated financial need, and will be titled as "Awards".</p>
Donor	An individual or organization who makes a charitable donation to the University of Alberta. A charitable donation is a voluntary transfer of property with intent to donate and without benefit or advantage to the donor. Charitable donations can include gifts-in-kind.
Nominator	A nominator is the individual or group (i.e., committee) responsible for selecting the recipient(s) of an award or bursary and must not be a person or group external to the University of Alberta.
Selection and Eligibility Criteria	Selection and eligibility criteria are the standards or conditions by which a student qualifies and is chosen to receive a financial support. Criteria may be defined in such areas as academic performance, leadership, community service, athletics, or demonstrated financial need.
Terms of Reference	The terms of reference of a student financial support provide all relevant information regarding how the student financial support will be dispersed, including the financial terms, the selection and eligibility criteria, and any other information pertinent to the administration.
Scholarship	A scholarship is a student financial support given to a student on the basis of overall superior academic achievement in a Faculty, Department, or degree program. Secondary selection criteria may also be used. A degree program may be defined as a full multi-year degree program within a Faculty or Department, or as one or more specific years within a full multi-year degree program.

Award	An award is a student financial support that does not meet the definitions for scholarships, prizes or University medals and has as its primary criterion satisfactory academic performance.
Prize	A prize is a student financial support given to a student on the basis of superior academic achievement in a course or specific set of courses in a Faculty, Department, or in some other subdivision of a Faculty. Additional non-academic secondary selection criteria may also be used.
University Medal	A University medal is a student financial support is given to a student on the basis of overall superior academic achievement in a Faculty, Department or some other subdivision of a Faculty, or in the University overall. Additional selection criteria will not normally be used.
Bursary	A bursary is a student financial support given to a student primarily on the basis of demonstrated financial need.

FORMS

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

RELATED LINKS

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[Discrimination, Harassment and Duty to Accommodate Policy](#) (UAPPOL)

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

[Strategic Plan for Equity, Diversity, and Inclusivity](#) (University of Alberta)

[Office of the Registrar](#) (University of Alberta)

[Faculty of Graduate Studies and Research](#) (University of Alberta)

U of A Policies and Procedures On-Line (UAPPOL)
Original Approval Date: **Most Recent Approval Date:**
Most Recent Editorial Date:
Parent Policy: Student Financial Supports Policy

Undergraduate Student Financial Supports Procedure

Office of Administrative Responsibility:	Office of the Registrar
Approver:	General Faculties Council
Scope:	<p>Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy <https://policiesonline.ualberta.ca/policiesprocedures/policies/recruitment-policy.pdf> (Appendix A <https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Recruitment-Policy-Appendix-A-Definition-and-Categories-of-Academic-Staff-Administrators-and-Colleagues.pdf> and Appendix B <https://policiesonline.ualberta.ca/policiesprocedures/procedures/recruitment-policy-appendix-b-definition-and-categories-of-support-staff.pdf>: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; emeriti; members of the Board of Governors; visitors to campus, including visiting speakers and scholars; third party contractors; and volunteers.</p>

Purpose

To provide information about undergraduate **student financial supports** at the University of Alberta.

The purpose of this procedure is to ensure consistency in fundamental financial support practices and procedures across the institution, while allowing academic units sufficient flexibility to administer their financial supports in a manner appropriate to their individual needs and objectives and in alignment with institutional objectives.

PROCEDURE

1. ADMINISTRATION

Merit-based student financial supports are normally administered by the Office of the Registrar (RO) as specified in the **terms of reference** of the financial supports. Some recipients for merit-based student financial supports are nominated to the Office of the Registrar by Faculties, departments or groups on campus as specified in the terms of reference.

Need-based student financial supports are normally administered by the RO as specified in the terms of reference of the need-based financial support.

Hybrid awards are normally administered by the RO as specified in the **terms of reference** of the hybrid awards. Some recipients for hybrid awards are nominated to the Office of the Registrar by Faculties, departments or groups on campus as specified in the terms of reference.

The RO will communicate with the Office of Advancement on recipient selection for donor funded student financial supports. The RO and Office of Advancement will work collaboratively to ensure administrative procedures align with the original purpose of the financial support.

Faculties, Departments and other administrative units who are responsible for nominating recipients to the RO will administer selection practices that meet the eligibility and selection criteria outlined in the terms of reference of the financial support. Nominating units will inform the RO when they have identified that selection criteria no longer support a diverse pool of eligible applicants or become too restrictive to allow the university to award the funds every year. The RO will work with the nominating unit and the Office of Advancement to explore options for changing the selection criteria to address the limitations.

The RO will coordinate with Financial Services as necessary to ensure proper financial management and disbursement of student financial supports.

2. MAINTENANCE OF TERMS OF REFERENCE FOR STUDENT FINANCIAL SUPPORTS

A. GENERAL ELIGIBILITY

Student financial supports are tenable only at the University of Alberta unless otherwise stated in terms of reference. Student financial supports specific to a particular Faculty are generally tenable only in that Faculty.

B. AMENDING TERMS OF REFERENCE

When terms of reference can no longer be satisfied, the University may amend the terms to best meet the original purpose of the financial support, while still ensuring that the benefit of such financial supports continues. For example, amendments to existing terms of reference may be necessary when there are no longer eligible students due to changes in University programming. Amendments to the general selection and eligibility criteria in terms of reference previously approved by GFC Undergraduate Awards and Bursaries Committee (UABC) must be forwarded to GFC UABC for approval. The Office of the Registrar is responsible for monitoring financial supports requiring amendment and will consult with the appropriate stakeholder(s) before forwarding to GFC UABC.

C. ANNUAL VALUE SETTING

For donor funded student financial supports held by the Office of the Registrar, the Office of the Registrar will determine the annual value to be expended in consultation with the Office of Advancement.

For donor funded student financial supports held by Faculties, the Faculty will determine the annual value to be expended by the Office of the Registrar.

3. MERIT-BASED STUDENT FINANCIAL SUPPORTS

A. SELECTION CRITERIA

Primary selection criteria for merit-based student financial supports will be based on **undergraduate academic performance**. Secondary selection criteria may include, but are not limited to, community service, leadership, and experiential learning.

If selection cannot be made by applying both primary and secondary selection criteria, selection will be based on a combination of primary criteria and criteria that most closely fulfills the original purpose of the financial support.

B. ELIGIBILITY

Merit-based student financial supports established by the University will normally be available to meritorious students who have completed a minimum 24 credits over the most recent September to April period, unless otherwise specified in the terms of reference of the financial support or the merit-based competition program.

C. DISBURSEMENT

Merit-based student financial supports are normally disbursed to the **student tuition account**. The first charge against any financial support is to pay outstanding University fees including tuition, incidental fees and other university-related fees.

Merit-based student financial supports are normally payable only when students are in **full-time attendance** at the University in the term during which funds are disbursed. Merit-based student financial supports that are awarded prior to the commencement of or within the Fall Term will be divided evenly between the Fall Term and the Winter Term. The student financial support value will normally be prorated if the attendance of the student changes.

Merit-based student financial supports awarded to a convocating student at the time of convocation will normally be disbursed to the student's account following convocation.

D. MAJOR AWARD

In order that funds may be broadly distributed, a student may hold only one University of Alberta **major award** per category (leadership, academics, athletics) in any one year. The total value of merit-based student financial supports already received by students may be taken into consideration in selections for open award competitions.

E. ACADEMIC TRANSCRIPT

Merit-based student financial supports approved by GFC UABC and administered by the Office of the Registrar will be listed on the academic transcript. Need-based and hybrid awards will not appear on the academic transcript.

4. NEED-BASED STUDENT FINANCIAL SUPPORTS

The Office of the Registrar administers need-based financial supports including bursaries and **emergency funding** for students. The Office of the Registrar also provides advising and program support for government financial support programs. The procedures outlined in this section do not refer to how government financial support programs are supported.

A. SELECTION CRITERIA

Primary selection criteria for need-based student financial supports will be based on **demonstrated financial need**. Secondary selection criteria may include, but are not limited to, community service, leadership, experiential learning, and undergraduate academic performance as long as the undergraduate academic performance requirement stated in the terms of reference does not exceed a 3.0 GPA.

If selection cannot be made by applying both primary and secondary selection criteria, selection will be based on a combination of primary criteria and criteria that most closely fulfills the original purpose of the financial support.

B. ELIGIBILITY

Need-based student financial supports established by the University, unless otherwise specified by the terms of reference of the financial support, will normally be available to students with full-time attendance and have demonstrated financial need for the current academic year.

Demonstrated financial need will normally be assessed through a common assessment practice as defined by the Office of the Registrar using a student's expenses and resources. The Common Assessment Practice is derived from provincial and federal loan guidelines. The Common Assessment Practice will also allow for exceptional student situations where the Common Assessment Practice does not reflect the true need of eligible students or does not address the institutional, diversity, or equity priorities of the University.

Domestic students are normally expected to access the maximum government student loan available to them in the current academic year. Assessed need that cannot be met by this loan may be met through University need-based student financial supports up to an annual maximum as determined by the University.

International students are required by the federal government of Canada to demonstrate sufficient resources to meet their cost of attendance at University in order to qualify for a study permit. International students

experiencing an emergency or exceptional circumstances may be considered for need-based student financial supports if their planned financial resources have changed by completing a financial need assessment.

C. DISBURSEMENT

Need-based student financial supports are normally disbursed to the student tuition account. The first charge against any financial support is to pay outstanding University fees including tuition, incidental fees and other university-related fees.

Need-based student financial supports are normally payable only when students are in full-time attendance at the University in the term during which funds are disbursed. Need-based student financial supports will normally be applied to a single term of enrolment in the academic year in which the financial need assessment was evaluated. The student financial support value will normally be re-evaluated if the attendance or enrollment of the student changes.

5. HYBRID AWARDS

A. SELECTION CRITERIA

Primary selection criteria for hybrid awards will be based on a combination of undergraduate academic performance and **indicated financial need** as long as the undergraduate academic performance requirement stated in the terms of reference does not exceed a 3.0 GPA.

Secondary selection criteria may include, but are not limited to, community service, leadership and experiential learning.

If selection cannot be made by applying both primary and secondary selection criteria, selection will be based on a combination of primary criteria and criteria that most closely fulfills the original purpose of the financial support.

B. ELIGIBILITY

Hybrid awards established by the University, unless otherwise specified by the terms of reference of the financial support, will normally be available to students with full-time attendance and have indicated financial need in either the current or previous academic year.

Indicated financial need will normally be assessed through defined indicators of financial need as established by the Office of the Registrar. Defined indicators of financial need are derived from elements of the Common Assessment Practice.

C. DISBURSEMENT

Hybrid awards are normally disbursed in accordance with disbursements outlined in section 3C of this procedure.

6. ANNUAL REPORTING

Each academic year, the Vice-Provost and University Registrar will present an annual report on Undergraduate Student Financial Support to GFC and the Board of Governors. The report serves as an overview of undergraduate financial supports and services administered by Student Financial Support (SFS) within the Office of the Registrar (RO).

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]

Student Financial Supports	<p>Student financial supports are items of monetary and/or other value awarded to a student by the University of Alberta or by donors through the University on the basis of completion of requirements outlined in the selection criteria or terms of reference.</p> <p>Merit-based student financial supports include, but are not limited to, awards, scholarships, prizes, and University medals. Merit-based financial supports are competitive; successful completion of the requirements does not guarantee receipt of the funding.</p> <p>Need-based student financial supports include, but are not limited to, bursaries, loans, and emergency funding.</p> <p>Hybrid awards require undergraduate academic performance and indicated financial need, and will be titled as “Awards”.</p>
Terms of Reference	<p>The terms of reference of a student financial support provide all relevant information regarding how the student financial support will be disbursed, including the financial terms, the selection and eligibility criteria, and any other information pertinent to the administration.</p>
Hybrid Awards	<p>Hybrid awards are financial supports whose primary selection criteria is a combination of both undergraduate academic performance and indicated financial need.</p>
Undergraduate Academic Performance	<p>Undergraduate academic performance refers to the academic requirements for student financial supports and is categorized as superior academic achievement or satisfactory academic standing.</p> <p>Superior academic achievement in the context of student financial supports will normally mean either of the following:</p> <ol style="list-style-type: none"> i. GPA of 3.5 or higher in the University or; ii. standing in the upper 10% of comparable students in a Faculty, School, Department or other subdivision of a Faculty. <p>Superior academic achievement in the context of student financial supports for entrance scholarships will normally mean a minimum average of 80% on marks used at the time of assessment.</p> <p>Satisfactory academic standing in a Faculty means satisfactory as defined within the <i>University Calendar</i> by the Faculty in question. If no such definition has been made by the Faculty, satisfactory academic standing means being eligible to continue in or graduate from the program in which the student is registered exclusive of those students allowed to continue on a probationary basis.</p> <p>For entrance awards, a student will be deemed to have achieved satisfactory academic standing provided they have been granted admission to a program of study at the University of Alberta.</p>
Demonstrated Financial Need	<p>Demonstrated financial need is a calculation of overall financial shortfall available for a student's academic and basic living costs for the current academic year. The calculation will normally be based on the Common Assessment Practice.</p>
Indicated Financial Need	<p>Indicated financial need is used in instances where a determination of full financial shortfall is unnecessary, as in Hybrid awards. Indicated</p>

	financial need is determined through review of a student's financial situation based on a subset of criteria taken from indicators based on the Common Assessment Practice and does not require a full financial shortfall assessment.
Student Tuition Account	The student tuition account is the receivable account by which charges (including tuition and fees), and payments are processed. Students access their account details through Bear Tracks.
Full-Time Attendance	Full-time attendance as defined within the <i>University Calendar</i> .
Major Award	A major award, as defined by the GFC UABC, is any financial support with a value equal or greater to the full course load tuition and any related differential fees charged to a student within a given academic year.
Emergency Funding	Emergency funding is a financial support given to a student primarily on the basis of demonstrated financial need and who have demonstrated emergent financial challenge. Emergency funding can either be repayable or non-repayable.

FORMS

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No forms for this procedure.

RELATED LINKS

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[Office of the Provost and Vice-President \(Academic\)](#) (University of Alberta)

[Office of the Registrar](#) (University of Alberta)

[University Governance](#) (University of Alberta)

Original Approval Date: **Most Recent Approval Date:**

Most Recent Editorial Date:

Parent Policy: Student Financial Supports Policy

Graduate Student Financial Supports Procedure

Office of Administrative Responsibility:	Faculty of Graduate Studies and Research
Approver:	Graduate Scholarship Advisory Committee
Scope:	<p>Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy https://policiesonline.ualberta.ca/policiesprocedures/policies/recruitment-policy.pdf (Appendix A https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Recruitment-Policy-Appendix-A-Definition-and-Categories-of-Academic-Staff-Administrators-and-Colleagues.pdf and Appendix B https://policiesonline.ualberta.ca/policiesprocedures/procedures/recruitment-policy-appendix-b-definition-and-categories-of-support-staff.pdf: Definitions and Categories); undergraduate, graduate and Faculty of Extension students; emeriti; members of the Board of Governors; visitors to campus, including visiting speakers and scholars; third party contractors; and volunteers.</p>

Purpose

To provide information about graduate **student financial supports** at the University of Alberta.

The purpose of this procedure is to ensure consistency in fundamental financial support practices and procedures across the institution, while allowing academic units sufficient flexibility to administer their financial supports in a manner appropriate to their individual needs and objectives and in alignment with institutional objectives.

PROCEDURE

1. ADMINISTRATION

Merit-based student financial supports are normally administered by the Faculty of Graduate Studies and Research (FGSR) as specified in the terms of reference. Recipients of merit-based student financial supports are nominated to the Faculty of Graduate Studies and Research by Faculties, departments or units on campus as specified in the terms of reference.

Need-based student financial supports are normally administered by the Office of the Registrar as specified in the terms of reference.

The FGSR will communicate with the Office of Advancement on recipient selection for donor funded student financial supports. The FGSR and Office of Advancement will work collaboratively to ensure administrative procedures align with donor intent.

Faculties, Departments and other administrative units who are responsible for nominating recipients to the FGSR will administer selection practices that meet the eligibility and selection criteria outlined in the terms of reference. Nominating units will inform the FGSR when they have identified that selection criteria no longer support a diverse pool of eligible applicants or become too restrictive to allow the university to award the funds every year. The FGSR will work with the nominating unit and Office of Advancement to explore options for changing the selection criteria to address the limitations.

The FGSR will coordinate with Financial Services as necessary to ensure proper financial management and disbursement of student financial supports.

2. MAINTENANCE OF TERMS OF REFERENCE

A. GENERAL ELIGIBILITY

Student financial supports are tenable only at the University of Alberta unless otherwise stated in the **terms of reference**. Student financial supports specific to a particular Faculty are generally tenable only in that Faculty.

B. AMENDING TERMS OF REFERENCE

When the terms of reference become prohibitive to fulfill through obsolescence, then the University may amend the terms to carry out the nearest possible original intent of the donor, while still ensuring that the benefit of such financial supports continues. For example, amendments to existing terms of reference may be necessary when there are no longer eligible students due to changes in University programming. Amendments to the general selection and eligibility criteria in the terms of reference previously approved by the Graduate Scholarship Committee (GSC) must be forwarded to GSC for approval. The Faculty of Graduate Studies and Research is responsible for monitoring these financial supports requiring amendment and will consult with the appropriate stakeholder(s) before forwarding to GSC.

C. ANNUAL VALUE SETTING

For donor funded student financial supports for which the FGSR holds administrative responsibility, the FGSR will determine the annual value to be expended unless indicated in the terms of reference.

3. MERIT-BASED FINANCIAL SUPPORT

A. SELECTION CRITERIA

Primary selection criteria for merit-based student financial supports will be based on **graduate academic performance**. Secondary selection criteria may include, but are not limited to, community service, leadership, and experiential learning.

If selection cannot be made by applying both primary and secondary selection criteria, selection will be based on a combination of primary criteria and criteria that most closely fulfills the original purpose of the financial support.

B. ELIGIBILITY

Students registered in master's programs are eligible to hold awards during the first four years of their program unless stated otherwise in the terms of reference for the award. Consideration for funding for the fifth year of a master's program may be considered if a compelling explanation (ie. illness, parental leave, personal catastrophe) outlined in a letter of support from the department is provided.

Students registered in doctoral programs are eligible to hold awards during the first six years of their program unless stated otherwise in the terms of reference for the award. Consideration for funding for the seventh year of a doctoral program may be considered if a compelling explanation (ie. illness, parental leave, personal catastrophe) outlined in a letter of support from the department is provided.

Full-time Registration

Full-time thesis-based students are required to be registered full-time in each term for the duration of the award.

Ineligible Student Categories

Part-time students are not typically eligible, unless specified in the terms of reference for the award. If a student is selected as the recipient of one of the limited number of awards for which part-time students are eligible, the student is required to register in each term for the duration of the award.

Students registered in Graduate Certificate and Diploma programs are not typically eligible, unless specified in the terms of reference for the award. If a student is selected as the recipient of one of the limited number of awards for which Graduate Certificate and Diploma students are eligible, the student is required to register in each term for the duration of the award.

Qualifying students, students on academic probation, visiting students and students in cost-recovery programs are not eligible to hold FGSR-administered awards, unless specified in the terms of reference for the award.

C. DISBURSEMENT

Graduate student financial supports are normally processed through direct deposit payroll, unless otherwise specified in the terms of reference. Recipients are responsible for setting up their direct deposit information in order to receive payment.

Merit-based student financial supports are normally payable only when students are registered full time at the University in the term during which funds are disbursed, unless otherwise specified in the award terms of reference.

Merit-based student financial supports up to and including the value of \$6,000 are paid in one payment during the timeframe outlined in the award letter of offer.

Merit-based student financial supports whose values are between \$6,000 and \$11,999.99 are either paid in two equal sums in consecutive terms (ie Fall and Winter) or disbursed as per the semi-monthly payroll schedule over the duration of twelve months. Students receiving term-based funding who no longer meet the eligibility criteria in the second term may have their payment terminated, and students receiving semi-monthly funding may have their payment terminated the month in which they complete their degree requirements.

Merit-based student financial supports whose values are greater than \$12,000 will be disbursed as per the semi-monthly payroll schedule over the duration of twelve months. If a student no longer meets the eligibility requirements of the financial support remaining payments may be terminated.

Changes to a student's status which render the recipient ineligible to hold all or some specific portion of an award, may result in the requirement to repay all or a portion of the award. These changes include but are not limited to: being placed on academic probation, withdrawal from the program, change in registration status, change in program, accepting another award which precludes holding concurrent awards.

D. ACADEMIC TRANSCRIPT

Scholarship and Prize student financial supports approved by GSC and administered by the Faculty of Graduate Studies and Research will be listed on the academic transcript. Need-based student financial supports will not appear on the academic transcript.

4. NEED-BASED FINANCIAL SUPPORT

The Office of the Registrar administers need-based financial supports including bursaries and **emergency funding** for students. Additional bursaries are administered through the Graduate Student's Association and University of Alberta International. The Office of the Registrar, also provide advising and program support for government financial

support programs. The procedures outlined in this section do not refer to how government financial support programs are supported.

A. SELECTION CRITERIA

Primary selection criteria for need-based student financial supports will be based on **demonstrated financial need**. Secondary selection criteria may include, but are not limited to, community service, leadership, experiential learning, and graduate academic performance, as long as the graduate academic performance requirement does not exceed a 3.0 GPA.

If selection cannot be made by applying both primary and secondary selection criteria, selection will be based on a combination of primary criteria and criteria that most closely fulfills the original purpose of the financial support.

B. ELIGIBILITY

Need-based student financial supports established by the University, unless otherwise specified by the terms of reference of the financial support, will normally be available to students with full-time enrollment and have demonstrated financial need for the current academic year.

Demonstrated financial need will normally be assessed through a common assessment practice as defined by the Office of the Registrar using a student's expenses and resources. The common assessment practice is derived from provincial and federal loan guidelines. The common assessment practice will also allow for exceptional student situations where the common assessment does not reflect the true need of eligible students or does not address the institutional, diversity, or equity priorities of the University.

Domestic students are expected to access the maximum government student loan available to them in the current academic year. Assessed need that cannot be met by this loan may be met through University need-based student financial supports up to an annual maximum as determined by the University.

International students are required by the federal government of Canada to demonstrate sufficient resources to meet their cost of attendance at University in order to qualify for a study permit. International students experiencing an emergency or exceptional circumstances may be considered for need-based student financial supports if their planned financial resources have changed by completing a financial need assessment.

C. DISBURSEMENT

Need-based student financial supports are normally disbursed to the **student tuition account**. The first charge against any financial support is to pay outstanding University fees including tuition, incidental fees and other university-related fees.

Need-based student financial supports are normally payable only when students are in full-time attendance at the University in the term during which funds are disbursed. Need-based student financial supports will normally be applied to a single term of enrolment in the academic year in which the financial need assessment was evaluated. The student financial support value will normally be re-evaluated if the attendance or enrollment of the student changes.

5. ANNUAL REPORTING

Each academic year, the Vice-Provost and Dean of FGSR will present an annual report on Graduate Student Financial Support to FGSR council and then to the GFC. The report serves as an overview of graduate financial supports and services administered by the Faculty of Graduate Studies (FGSR).

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

Student Financial Supports	<p>Student financial supports are items of monetary and/or other value awarded to a student by the University of Alberta or by donors through the University on the basis of completion of requirements outlined in the selection criteria or terms of reference.</p> <p>Merit-based student financial supports include, but are not limited to, awards, scholarships, prizes, and University medals. Merit-based financial supports are competitive; successful completion of the requirements does not guarantee receipt of the funding.</p> <p>Need-based student financial supports include, but are not limited to, bursaries, loans, and emergency funding.</p>
Terms of Reference	<p>The terms of reference of a student financial support provide all relevant information regarding how the student financial support will be disbursed, including the financial terms, the selection and eligibility criteria, and any other information pertinent to the administration.</p>
Graduate Academic Performance	<p>Graduate academic performance refers to the academic grading requirements for student financial supports and are categorized as superior academic achievement or satisfactory academic standing.</p> <p>Superior academic achievement will normally mean the following:</p> <ul style="list-style-type: none"> i. GPA of 3.5 or higher in the University <p>Superior academic achievement for entrance scholarships will normally mean a minimum GPA of 3.5 based on marks used at the time of assessment.</p> <p>Satisfactory academic standing is defined as:</p> <ul style="list-style-type: none"> i. GPA of 3.0 for newly admitted graduate students ii. GPA of 2.7 or greater for continuing students <p>Satisfactory academic achievement for entrance scholarships will normally mean a minimum GPA of 3.0 based on the marks used at the time of assessment.</p>
Demonstrated Financial Need	<p>Demonstrated financial need is a calculation of overall financial shortfall available for a student's academic and basic living costs for the current academic year. The calculation will normally be based on the common assessment practice.</p>
Full-Time Attendance	<p>Full-time attendance as defined within the <i>University Calendar</i>.</p>
Emergency Funding	<p>Emergency funding is a financial support given to a student primarily on the basis of demonstrated financial need and who have demonstrated emergent financial challenge. Emergency funding can either be repayable or non-repayable.</p>
Student Tuition Account	<p>The student tuition account is the receivable account by which charges (including tuition and fees), and payments are processed. Students access their account details through Bear Tracks.</p>

FORMS

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Governance Executive Summary
Action Item

Agenda Title	Non-endowed Investment Pool - Income/Reserve Transfer
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Motion

THAT the Board of Governors, on the recommendation of the Board Finance and Property Committee, approve the transfer of \$15 million additional funds to the University of Alberta 2019-20 Operating Budget, sourced from non-endowed investment income and the non-endowed investment reserve.

Item

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

Details

Responsibility	Vice-President (Finance and Administration) Provost and Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	To approve a transfer of \$15 million additional funds to the University of Alberta 2019-20 Operating Budget, sourced from non-endowed investment income and the non-endowed investment reserve.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>The Board of Governors approved, on December 14, 2018, the establishment of an investment income reserve as outlined in the University Funds Investment Policy, with the amount of the reserve to be formally disclosed in the University's year-end audited finance statements as Internally Restricted Net Assets.</p> <p>The Non-endowed Investment Pool (NEIP) is allocated across three underlying strategies: Liquidity, Yield and Return Seeking. The University Funds Investment Policy is included as Attachment 1. The relevant clause from the Investment Policy reads as follows:</p> <p><i>5.3 Budget Considerations and Risk Management</i></p> <p><i>All earnings from Liquidity will form part of the base budget and be available for spending in the year in which they're earned. All earnings from Yield and Return Seeking will be reinvested to build an investment income reserve. Appropriations from this investment income reserve to the strategic initiatives fund can only be made when total market value of Yield and Return Seeking exceeds the underlying obligation (investment cost) by a factor of 1.17x.</i></p> <p>As of September 30, 2019, the market value of the Yield and Return Seeking strategies exceeded the underlying obligation (investment cost) by a factor of 1.12x. This excess of \$55m (12%) represents the investment income reserve. Up to \$15M of this excess will be required for the 2019/20 budget.</p> <p>The 2019-20 operating budget was developed with \$15M in investment income. As of September 30, we had realized \$13.3M of this amount. A conservative estimate of the NEIP's investment income for the fiscal year ending March 31, 2020 is \$15.5M. Income from the liquidity pool will be lower in the second half of the year because of lower balances and lower interest rates, so the forecast is a total of \$6.0M. Yield income is assumed</p>

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to equate to what was generated in the first 6 months, so \$3M for the full year. Return seeking is forecast to end the year with a total of \$5M, as certain contemplated investment rebalancing transactions will result in unrealized losses being realized this fiscal year. Other investment income is forecast at \$1.5M. This brings the total year forecast to \$15.5M.

As members are aware, the institution has entered a period of significant reduction in our main source of revenue, the Campus Alberta Grant. In the current year, with less than 5 months remaining, the Grant has been cut by \$44.4M. This is exacerbated by the complete elimination of Infrastructure Maintenance Projects funding of \$34.9M. Although the government has lifted the freeze on tuition, with the academic year in full swing this opportunity has no impact until 2020-21.

Our strategy for handling the reduction for the current budget year is to institute a one-time cut across the organization, after absorbing as much as possible at the institutional level. Inclusive of the \$15M being requested, we can absorb \$34.2M at the institutional level (please see Attachment 2 for the components of this amount), with a remainder of \$45.1M being addressed by a one-time cut of 4.7% to the Faculties and 8.0% to the Central units. The base reduction in our Campus Alberta grant would then be addressed by base reductions in Faculty and Unit budgets for the 2020-21 year, along with the next reduction in our base grant anticipated in the winter/spring 2020 provincial budget. This will form the basis of the 2020-21 operating budget.

We are working hard to make thoughtful, reasoned decisions on where we can reduce university expenditures while preserving the excellence of our teaching and research. This will be challenging. The request for \$15 million in additional investment income to support the budget in the current year provides a bit of breathing room as we undertake our planning for the next 3 years.

We remain fully committed of the need for the investment reserve for long-term stability, understanding that market returns have volatility and monies invested have underlying obligations associated with them. Equally, the opportunity to create a strategic investment fund for returns above the reserve level, once reached, is very important to the long term future of the university. However, at this moment we are facing a significant financial challenge which compels a different strategy in the short term for the NEIP.

Our Director of Treasury and Investments offers that an investment reserve of \$40M (9%) has the following implications:

- There will be a slightly smaller buffer to guard against concurrent unrealized losses in the underlying investment strategies and an unexpected need for the funds. The majority of the NEIP's investment risk is associated with its Return Seeking strategy, which is invested alongside the endowments in the University Endowment Pool (UEP). The allocation to the Return Seeking strategy currently has a market value of \$251 million. An investment income reserve of \$40 million, or 16% of underlying investment in the Return Seeking strategy, remains sufficient to cover potential mark to market losses within two standard

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	<p>deviations of the University Endowment Pool's expected returns at a 95% confidence level (one in twenty years).</p> <ul style="list-style-type: none"> • The anticipated appropriations from the investment income reserve to the strategic initiatives fund will be delayed by approximately one year. • The \$15 million transfer from the investment income reserve will not have any investment implications, and will be funded from the NEIP's Liquidity strategy. The NEIP's 41% allocation to the Liquidity strategy is above its target of 35%, while the 23% allocation to the Return Seeking strategy is below its target of 30%. As of September 30, 2019 the NEIP balance was \$1.1 billion. The NEIP balance would have to decline to \$850 million before any policy based rebalancing is required between the three underlying investment strategies (Liquidity, Yield and Return Seeking).
Supplementary Notes and context	<p><u>Note from the Board Finance and Property Committee:</u> In response to a question from a committee member during discussion of this item at the November 26th, 2019 Board Finance and Property Committee, the Vice-President (Finance and Administration) committed to returning \$15 million dollars to the investment reserve as soon as fiscal circumstances allow.</p> <p><u>Note from the Board Investment Committee:</u> On November 28, 2019, the Vice-President (Finance and Administration) briefed the Board Investment Committee on the proposed transfer from the investment income reserve. The Committee acknowledged at that time that the proposal falls outside the Board-approved University Funds Investment Policy; however, it recognizes the university's current budget challenges and supports the recommendation moving forward.</p>

Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)	<p><u>Those who are actively participating:</u></p> <ul style="list-style-type: none"> • President and Vice-Chancellor • Provost and Vice-President (Academic) • Vice-President (Finance & Administration)
	<p><u>Those who have been consulted:</u></p> <ul style="list-style-type: none"> • Associate Vice-President, Finance and Supply Management Services • Director, Investments and Treasury
Approval Route (Governance) (including meeting dates)	Board Finance and Property Committee (recommendation) - Nov 26, 2019 Board Investment Committee (information) – Nov 28, 2019 Board of Governors (approval) - Dec 13, 2019

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>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> <p>i. Strategy: Seek and secure resources needed to achieve and support our strategic goals.</p>
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	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.	
Alignment with Institutional Risk Indicator	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input checked="" type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act</i> BFPC Terms of Reference	

Attachments:

1. University Funds Investment Policy (10 pages)
2. Impact to Budget 2019-20 (1 page)

Prepared by: Giovana Bianchi, Senior Administrative Officer, Finance and Administration
(giovana.bianchi@ualberta.ca)



U of A Policies and Procedures On-Line (UAPPOL)

Original Approval Date: January 29, 2010

Most Recent Approval Date: December 14, 2018

University Funds Investment Policy

Office of Accountability:	Vice President (Finance & Administration)
Office of Administrative Responsibility:	Financial Services – Investments and Treasury
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. 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 investment 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



U of A Policies and Procedures On-Line (UAPPOL)

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. 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. 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:



U of A Policies and Procedures On-Line (UAPPOL)

Growth			
	Minimum	Target	Maximum
<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 in accordance with the following general categories in 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, 2019)	Target
MSCI Canada IMI	10%
MSCI World IMI	35%
MSCI Emerging Markets IMI	10%
Cambridge Associates Private Equity Index	5%
IPD/Realpac Global Property Index	7%
S&P Global Natural Resources Index	5%
Dow Jones North America Select Junior Oil/Gas Index	5%
Bloomberg Commodity Index	3%
FTSE/TMX All Federal Bond Index	10%
LIBOR + 6%	10%
	100%

4. 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. 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%	50%
Yield	25%	35%	45%
Return Seeking	20%	30%	40%

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.

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 issues 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 Budget Considerations and Risk Management

All earnings from Liquidity will form part of the base budget and be available for spending in the year in which they're earned. All earnings from Yield and Return Seeking will be reinvested to build an investment income reserve. Appropriations from this investment income reserve to the strategic initiatives fund can only be made when total market value of Yield and Return Seeking exceeds the underlying obligation (investment cost) by a factor of 1.17x.

5.4 Performance Benchmarks

For each component of the NEIP the benchmark is:

	NEIP Policy Benchmark (Effective April 1, 2019)	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%

5.5 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. 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

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



U of A Policies and Procedures On-Line (UAPPOL)

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](#)

[Internal Loan Policy](#)

[Interest Procedure – Restricted Special Purpose and Restricted Research Accounts](#)

Approved:

Board of Governors, December 14, 2018

Board Investment Committee, September 27, 2018 and November 29, 2018

One-time cut – Institutional Plan

Cancel IMP* Projects	\$14.9M
Incremental Tuition	\$2.0M
Apply Budget Contingency	\$2.3M
<u>Investment Transfer**</u>	<u>\$15.0M</u>
Total	\$34.2M

* IMP = Infrastructure Maintenance Program

** If approved by the Board of Governors

Item No. 7

Governance Executive Summary
Action Item

Agenda Title	Statement on Free Expression at the University of Alberta
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Motion

THAT the Board of Governors, on the recommendation of the Board Human Resources and Compensation Committee, Board Reputation and Public Affairs Committee, and General Faculties Council, approve the Statement on Free Expression at the University of Alberta, as set forth in Attachment 1.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Steven Dew, Provost and Vice-President (Academic)
Presenter(s)	Steven Dew, Provost and Vice-President (Academic); Wendy Rodgers, Deputy Provost; Brad Hamdon, General Counsel

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The university is developing a statement on free expression. The Free Expression Advisory Group, established in May 2019, has developed a draft statement, based on extensive consultation with the university community. The purpose of this item is to approve the draft statement.
Executive Summary (outline the specific item – and remember your audience)	<p>In May 2019, in conjunction with early consultation with General Faculties Council, the university established an Advisory Group on Free Expression, chaired by the Deputy Provost and made up of subject matter experts, members of the GFC Executive Committee, and key administrative portfolios. The group’s mandate is to advise on the development of an institutional statement on free expression.</p> <p>In June 2019, the Minister of Advanced Education issued a letter instructing all post-secondary institutions to develop a statement on free expression consistent with the “Chicago Principles” (Report of the Committee on Freedom of Expression). In July, the Minister issued a second letter providing clarification and extending the deadline for submission of a preliminary statement to the Ministry to November 15 and for public posting of an approved statement to December 15, 2019.</p> <p>The Advisory Group developed a draft set of principles on free expression to inform a new university statement. The draft principles are based on an environmental scan, review of other institutions, and the expertise and perspectives of the group.</p> <p>Broad consultation occurred in September and October 2019, including engagement with faculty, staff, and students on all campuses, AASUA, NASA, online submissions, presentation to GFC and Board committees, two discussions with GFC, and discussion with the Board of Governors. The key themes emerging from the consultation were presented to GFC on October 21. These included:</p> <ul style="list-style-type: none"> • Striking an appropriate balance between free expression and other rights and interests, such as respect for human dignity and

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	<p>provision of a work and study environment free of discrimination and harassment;</p> <ul style="list-style-type: none"> • Clarifying the relationship of this statement to existing university policies and procedures; • Supplementing the statement with additional tools/resources to support our community in dealing constructively with disagreement and mitigating impacts on marginalized groups. <p>Following discussion with GFC, the Advisory Group developed a draft statement for approval. A colour-coded version has been provided to identify elements requested in the Minister’s letter of July 14, other language adopted from the Chicago Statement, as well as elements reflecting major themes from community feedback (including elements of the statement that were present in the draft principles).</p> <p>The final, approved version will be accompanied by an Information Sheet and set of Frequently Asked Questions, which are intended to clarify issues related to implementation, relationship to other university documents, and other available supports.</p>
Supplementary Notes / context	The university submitted its preliminary statement to the Ministry for consideration on November 15, and made an updated submission after the statement was amended by GFC on November 25.

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	<p><u>Advisory Group membership:</u></p> <ul style="list-style-type: none"> • Wendy Rodgers, Deputy Provost (Chair) • Andre Costopolous, Vice-Provost and Dean of Students • Mary Forhan, Associate Professor, Faculty of Rehabilitation Medicine • Brad Hamdon, General Counsel • Logan Mardhani-Bayne, Strategic Development Manager, Office of the Provost • Catherine Swindlehurst, Chief of Staff, Office of the President • Marc Waddingham, Graduate Students’ Association • Joel Agarwal, Students’ Union • Lesley Cormack, Dean of Arts • Bill Foster, Professor, Augustana • David Johnson, Special Advisor, Faculty and Staff Relations • Toni Samek, Professor, Faculty of Education • Anne Bailey, Executive Director, University Relations • Douglas Stollery, Chancellor • Yasmeen Abu-Laban, Professor, Faculty of Arts • Dax D’Orazio, Graduate Student, Faculty of Arts <p>University-wide consultation process has included:</p> <ul style="list-style-type: none"> - Consultation with Association of Academic Staff of the University of Alberta (AASUA), Non-Academic Staff Association (NASA), Graduate Students’ Association (GSA), Students’ Union (SU) - Discussion with Deans’ Council; Vice-Provosts’ Council; Chairs’ Council, President’s Executive Committee - Strategic - Posting of draft principles on website for email comment - Town hall-style forums on North Campus (Sept. 20), Campus Saint-Jean (Sept. 17), Augustana (Sept. 27)
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	<ul style="list-style-type: none"> - Workshop and panel discussion featuring U of A experts and scholars (Oct. 8) - General Faculties Council (Sept. 23, Oct. 21) and Board of Governors (Oct. 18) - Town hall-style forum on the draft statement (Nov. 1) - Opportunity for review and feedback by email - Board of Governors (Nov 7) <p><u>Approval path:</u> General Faculties Council Executive Committee – November 4 General Faculties Council - November 25 Board Human Resources and Compensation Committee – November 26 Board Reputation and Public Affairs Committee – November 29 Board of Governors – December 13 (for approval)</p>
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Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>Objective 11: <i>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.</i></p> <p>Objective 14: <i>Inspire, model, and support excellence in teaching and learning.</i></p>		
Alignment with Institutional Risk Indicator	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table style="width: 100%; border: none;"> <tr> <td style="border: none; vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="border: none; vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input type="checkbox"/> Student Success
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Legislative Compliance and jurisdiction	<p>Space Management Policy Signage Policy Canvassing and Solicitation Policy Discrimination, Harassment, and Duty to Accommodate Policy Code of Student Behaviour Collective Agreement between the Governors of the University of Alberta and The Association of Academic Staff of the University of Alberta Collective Agreement between the Non-Academic Staff Association and the University of Alberta BHRCC Terms of Reference Section 2(z) BRPAC Terms of Reference Section 2(m)</p>		

Attachments:

1. Draft Statement on Free Expression (clean version) (2 pages)
2. Draft Statement on Free Expression (colour-coded version) (2 pages)
3. Letter, Minister of Advanced Education, dated June 14, 2019 (2 pages)
4. Letter, Minister of Advanced Education, dated July 4, 2019 (2 pages)

Prepared by: Logan Mardhani-Bayne, Strategic Development Manager, Office of the Provost and Vice-President (Academic), lmardhan@ualberta.ca

PRELIMINARY VERSION – AS AMENDED BY GFC
Statement on Freedom of Expression at the University of Alberta

The mission and mandate of the University of Alberta is to discover, disseminate, and apply knowledge for the benefit of society through teaching and learning, research, innovation and creative activity, community involvement, and partnerships. To achieve our mission and mandate, we must cultivate an equitable and inclusive environment that fosters respect for human dignity and supports the ability and skills of all members of our diverse community to learn and to discover.

Freedom of expression is one of the key elements of such an environment and has been central to the university since its founding. Learning requires exposure to a variety of views, including those with which one disagrees, and the ability to participate in intellectual debate – including having one's own views challenged. Research and discovery require the ability to challenge the conventional, to communicate findings and their implications, and to provide informed commentary in the public sphere. Across all areas of its mandate, the university is committed to intellectual integrity, rigorous inquiry, and the robust expression and discussion of ideas. Fostering the ability of members of the university community to engage in debate and deliberation in an effective and responsible manner is an essential part of the university's educational mission. Recognizing that free expression can thrive only where all members of the university community have the ability to participate fully, we strive to foster an inclusive and respectful institutional culture that is free of discrimination and harassment.

The University of Alberta remains committed to free expression in all forms of communication, including non-violent protest and dissent. The university is a place of free and open inquiry in all matters, and all members of the university community have the broadest possible latitude to speak, write, listen, view, challenge, profess, and learn. Members of the university community have the right to criticize and question other views expressed on our campuses, but may not obstruct or otherwise interfere with others' freedom of expression. Debate or deliberation may not be suppressed because the ideas put forward are thought by some, or even most, to be offensive, unwise, immoral, or misguided. It is for individuals, not the institution, to make those judgments for themselves and to act not by seeking to suppress expression, but by openly and vigorously contesting the ideas they oppose. The university does not attempt to shield members of the university community from ideas or opinions they disagree with or find offensive. Mutual respect and civility are valued, but their absence does not constitute sufficient justification to limit free expression.

Freedom of expression at the university does not mean that individuals may say whatever they wish, wherever they wish. Free expression is subject to the limitations imposed by Canadian or Alberta law. The university has the authority to restrict expression that violates law, causes the university to violate law, violates applicable university policies, procedures or collective agreements, falsely defames, constitutes a genuine threat or harassment, or unjustifiably violates privacy or confidentiality interests. The university may also regulate the time, place and manner of expression to ensure that it does not disrupt the ordinary activities of the university. **However, this administrative discretion should not be exercised in a manner inconsistent with the University of Alberta's overarching commitment to free expression.** Ideas and opinions presented on our campuses are neither a reflection of, nor an

endorsement from, the university, unless otherwise stated.

In a diverse and inclusive university environment characterized by lively debate, people can expect, from time to time, to be confronted by concepts or images that they find offensive or disturbing, and to have their ideas questioned or challenged. The university remains committed to providing support services to those who need them.

The right to academic freedom is addressed separately in the context of the collective agreement with the Association of Academic Staff of the University of Alberta.

Complaint processes are available through existing policies, procedures, and collective agreements.

DRAFT

CONSULTATION DRAFT – COLOUR-CODED VERSION
Statement on Freedom of Expression at the University of Alberta

The mission and mandate of the University of Alberta is to discover, disseminate, and apply knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships. To achieve our mission and mandate, we must cultivate an equitable and inclusive environment that fosters respect for human dignity and **supports the ability of all members of our diverse community to learn, to research, and to discover.**

Freedom of expression is one of the key elements of such an environment and has been central to the university since its founding. Learning requires exposure to a variety of views, including those with which one disagrees, and the ability to participate in intellectual debate – including having one’s own views challenged. Research and discovery require the ability to challenge the conventional, to communicate findings and their implications, and to provide informed commentary in the public sphere. Across all areas of its mandate, the **university is committed to intellectual integrity, rigorous inquiry, and the robust expression and discussion of ideas.** **Fostering the ability of members of the university community to engage in debate and deliberation in an effective and responsible manner** is an essential part of the **university’s educational mission.** **Recognizing that free expression can thrive only where all members of the university community have the ability to participate fully,** we strive to foster an inclusive and respectful institutional culture that is free of discrimination and harassment.

The University of Alberta remains committed to free expression in all forms of communication, **including non-violent protest and dissent.** **The university is a place of free and open inquiry in all matters, and all members of the university community have the broadest possible latitude to speak, write, listen, view, challenge, profess, and learn.** **Members of the university community have the right to criticize and question other views expressed on our campuses, but may not obstruct or otherwise interfere with others’ freedom of expression.** **Debate or deliberation may not be suppressed because the ideas put forward are thought by some, or even most, to be offensive, unwise, immoral, or misguided.** **It is for individuals, not the institution, to make those judgments for themselves and to act not by seeking to suppress expression, but by openly and vigorously contesting the ideas they oppose.** **The university does not attempt to shield members of the university community from ideas or opinions they disagree with or find offensive.** **Mutual respect and civility are valued, but their absence does not constitute sufficient justification to limit free expression.**

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Legend:

Eight points requested by ministry from Chicago Principles

Bonus points from Chicago Principles

Response to feedback

Amendment added by General Faculties Council, November 25, 2019

DRAFT



ALBERTA
ADVANCED EDUCATION

*Office of the Minister
MLA, Calgary-Bow*

AR 56510

June 14, 2019

Mr. Michael Phair
Chair, Board of Governors
University of Alberta
3-04 South Academic Building (SAB)
Edmonton AB T6G 2G7

Dear Mr. Phair:

The Government of Alberta is committed to protecting and promoting free speech as a fundamental tenet of the academic experience, as reflected in the University of Chicago Statement on Principles of Free Expression.

Alberta's post-secondary institutions demonstrate their commitment to free expression through a variety of free speech protections and statements already in place. Whether through statements on academic freedom, codes of conduct, or other policies, institutions underscore the importance of free speech on campus. I would like to thank you for the work you do every day to protect this important aspect of post-secondary learning.

To ensure clarity at all institutions, the government is asking that each institution either formally adopt the Chicago Principles, or develop a policy that consolidates its existing protections and demonstrates each institution's commitment to free speech. All 26 publicly funded post-secondary institutions are required to adopt the Chicago Principles or to develop a stand-alone policy. It is expected either option will be in place and publicly available by October 15, 2019.

The stand-alone policy should align with the substance of the Chicago Principles, while also respecting the unique context at each institution. To achieve this, your policy should, at a minimum, reflect that:

- Institutions are places of open discussion and inquiry, committed to protecting and promoting free expression.

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Mr. Michael Phair
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- Community members have the right to criticize and question other views expressed on campus, but cannot obstruct or interfere with others' freedom of speech.
- Institutions should not attempt to shield students from ideas or opinions they disagree with or find offensive. Mutual respect and civility are valued, but do not constitute sufficient justification to limit free speech.
- Free speech may be limited if it violates the law.
- Free speech may be limited if it is incompatible with the functioning of the institution.

Please provide Mr. Peter Leclaire, Assistant Deputy Minister, Advanced Learning and Community Partnerships Division, with either the commitment to formally adopt the Chicago Principles or a copy of your institution's intended policy for confirmation of its alignment to the above-stated requirements, by email at peter.leclaire@gov.ab.ca. Policy drafts should be submitted to Mr. Leclaire no later than September 23, 2019. The department will notify you once your approach has been approved so you can post your free speech policy or statement of adoption of the Chicago Principles on your website by the October 15, 2019 deadline.

Thank you for your contribution to this important work. I look forward to working with you to continue to ensure free speech is supported in Alberta's post-secondary system.

Sincerely,



Demetrios Nicolaidis
Minister of Advanced Education



AR 56802

July 4, 2019

Mr. Michael Phair
 Chair, Board of Governors
 University of Alberta
 3-04 South Academic Building (SAB)
 Edmonton AB T6G 2G7

Dear Mr. Phair:

I would like to express my sincere appreciation for the frank and open discussion around free speech policies that took place at our recent meeting in Calgary. Conversations like this one are laying the foundation of a fruitful relationship as we work together to renew Alberta's post-secondary system.

At our recent meeting, there were a few concerns regarding the short timeline for implementation. I am more than happy to change the deadline to give all our institutions the time they need.

With that in mind, I am moving the submission deadline to November 15, 2019 and the posting deadline to December 15, 2019.

I would also like to clarify what our government is looking for. We are asking our institutions to demonstrate their commitment to the principles of the Chicago Statement on Free Speech. This can be done in a number of different ways, including:

1. The Board of Governors passing a resolution formally adopting the Chicago Statement.
2. The Board of Governors passing a resolution adopting the eight key principles of the Chicago Statement as outlined below:
 - a. Free speech may not violate Canadian law.
 - b. Institutions are places of free and open inquiry in all matters, and all members of each institution's community are guaranteed the broadest possible latitude to speak, write, listen, challenge, and learn.

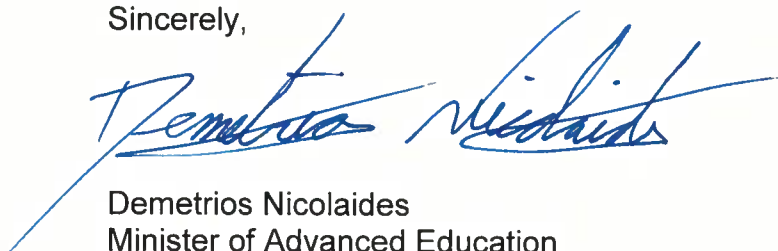
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Mr. Michael Phair
Page 2

- c. Community members have the right to criticize and question other views expressed on campus, but cannot obstruct or interfere with others' freedom of speech.
 - d. Institutions should not attempt to shield students from ideas or opinions they disagree with or find offensive. Mutual respect and civility are valued, but do not constitute sufficient justification to limit free speech.
 - e. The institution may reasonably regulate the time, place, and manner of expression to ensure that it does not disrupt the ordinary activities of the institution.
 - f. The institution may restrict expression that violates the law, falsely defames an individual, or constitutes a genuine threat or harassment that unjustifiably invades substantial privacy or confidentiality of interests.
 - g. Debate or deliberation may not be suppressed because the ideas put forward are thought by some, or even most, to be offensive, unwise, immoral, or wrong-headed.
 - h. It is for individuals, not the institution, to make those judgments for themselves and to act not by seeking to suppress speech, but by openly and vigorously contesting the ideas they oppose.
3. The Board of Governors adopting its own policy that conforms with the key elements of the Chicago Statement as described above.

I have every confidence that, as stewards of your institutions accountable to the Minister, your board will take appropriate action to fulfil these requirements. If your institution elects to write its own policy, it will be vetted by the department to ensure compliance with the spirit of the Chicago principles. It is your responsibility to ensure that whatever action is taken by your board demonstrates clear commitment to the key principles of free speech as found within the Chicago Statement.

Sincerely,



Demetrios Nicolaidis
Minister of Advanced Education