

The following Motions and Documents were considered by the GFC General Faculties Council at its Monday, May 30, 2016 meeting:

Agenda Title: **Institutional Strategic Plan: For the Public Good**

CARRIED MOTION: THAT General Faculties Council recommend that the Board of Governors approve the Institutional Strategic Plan: For the Public Good, as set forth in Attachment 1 to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

Final Item: 4

Agenda Title: **Proposed New Copyright Regulations**

CARRIED MOTION: THAT General Faculties Council recommend that the Board of Governors approve the proposed new Copyright Regulations for the various Academic Staff Agreements.

Final Item: 5

Agenda Title: **Proposed new Embedded Credit Certificate in Interdisciplinary Leadership Studies, Faculty of Business**

CARRIED MOTION: THAT General Faculties Council, on the recommendation of the GFC Academic Standards Committee, approve the Embedded Credit Certificate in Interdisciplinary Leadership Studies, as submitted by the Faculty of Business, and as set forth in Attachment 1, to be effective upon approval.

Final Item: 6

Agenda Title: **Proposal for the creation of a Critical Care Department, Faculty of Medicine and Dentistry**

CARRIED MOTION: THAT General Faculties Council recommend that the Board of Governors approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry, and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

Final Item: 7

Agenda Title: **Academic Governance and Delegated Authority**

CARRIED MOTION: Whereas at its meeting of 25 January 2016 the General Faculties Council (GFC) approved the following motions:

THAT the General Faculties Council will review the delegation of its authorities to all of its current committees, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.

and

THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report "A Reflection on the State of Academic

Governance at the University of Alberta."

At its meeting of 30 May 2016, the **General Faculties Council**:

- a. approves the interim renewal of delegated authorities to all GFC standing committees until revised "Terms of Reference" modifying the delegated authorities of these committees are presented to it for its final approval on or before 30 April 2017;
- b. affirms its authority to make recommendations to the Board of Governors of the University of Alberta on any matter that it deems to be of interest to the University; and
- c. affirms its ultimate overarching authority to recall to it at any time any matter being considered by its standing committees under delegated authority;
- d. approves the creation of an *ad hoc* committee to lead, during the 2016-17 academic year, the process for the revision of the "Terms of Reference" for GFC and all of its standing committees, with "Terms of Reference" for and composition of this *ad hoc* committee to be approved by GFC at its September 2016 meeting;
- e. directs the *ad hoc* committee to bring forward to GFC its recommendations for revisions to the "Terms of Reference" for GFC and its Standing Committees addressing delegated authority for final approval on or before 30 April 2017;
- f. directs that during the 2016-17 academic year GFC meet as often as necessary between September and April to discuss and consider proposals of the *ad hoc* committee for the revision of the "Terms of Reference" of the General Faculties Council and its standing committees; and
- g. moves that until such time as the "Terms of Reference" for the General Faculties Council and its standing committees are revised, anything in the current "Terms of Reference" for the General Faculties Council or any of its standing committees not consistent with any of the above is null and void.

Final Item: 8

Agenda Title: **Teaching and Learning and Teaching Evaluation and the Use of the Universal Student Ratings of Instruction (URSI) as an Evaluative Tool**

CARRIED MOTION: THAT the General Faculties Council, on the recommendation of the GFC Executive Committee, request that the GFC Committee on the Learning Environment report by 30 April 2017, on research into the use of student rating mechanisms of instruction in university courses. This will be informed by a critical review of the University of Alberta's existing Universal Student Ratings of Instruction (USRIs) and their use for assessment and evaluation of teaching as well as a broad review of possible methods of multifaceted assessment and evaluation of teaching. The ultimate objective will be to satisfy the Institutional Strategic Plan: For the Public Good strategy to: Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, non-discriminatory, and meaningful across disciplines.

Final Item: 9

OUTLINE OF ISSUE

Agenda Title: **Institutional Strategic Plan: For the Public Good**

Motion: THAT General Faculties Council recommend that the Board of Governors approve the Institutional Strategic Plan: For the Public Good, as set forth in Attachment 1 to be effective upon approval, and empower administration to make any editorial changes to the plan, as needed, as long as the changes do not have the force of policy.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Presenter	David H. Turpin, President, and Steven Dew, Provost and Vice-President (Academic)
Subject	Institutional Strategic Plan: For the Public Good

Details

Responsibility	President, and Provost & Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	<p>In consultation with the University of Alberta, the President and Provost & Vice-President (Academic) have developed a plan to guide the overall decision-making and governance process of the university for the next decade. The plan reaffirms the institutional vision and mission and establishes five strategic goals:</p> <p>BUILD a diverse, inclusive community of exceptional students, faculty, and staff from Alberta, Canada, and the world.</p> <p>EXPERIENCE diverse and rewarding learning opportunities that inspire us, nurture our talents, expand our knowledge and skills, and enable our success.</p> <p>EXCEL as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service.</p> <p>ENGAGE communities across campuses, city and region, province, nation, and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.</p> <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.</p> <p>In pursuing these goals, and the objectives and strategies that have been developed to animate them, we will be guided by the knowledge that we are a public university acting for the public good. As a community, the University of Alberta will deepen its dedication to excellence and extend its record of public leadership, playing a lead role in building a better province, a better Canada, and a better world.</p>
The Impact of the Proposal is	To establish a new strategic direction for the institution under the

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	<p>leadership of the President and Provost & Vice-President (Academic). Upon approval of the plan, the university community will move from the planning phase into:</p> <ul style="list-style-type: none"> - priority setting (short-, medium- and long-term) - the development of measures to monitor our progress - the establishment of an institution reporting process to hold ourselves accountable to the plan
Replaces/Revises (eg, policies, resolutions)	Dare to Discover, Dare to Deliver, Change@UAlberta
Timeline/Implementation Date	Effective upon approval
Estimated Cost	N/A
Sources of Funding	N/A
Notes	

Alignment/Compliance

Alignment with Guiding Documents	
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA) “26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university”</p> <p>2. General Faculties Council Terms of Reference (3. Mandate of the Committee) “The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following:</p> <ul style="list-style-type: none"> • high level strategic and stewardship policy issues or matters of significant risk to the University” <p>3. GFC Executive Committee Terms of Reference (3. Mandate of the Committee) “GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.”</p> <p>4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee) “ APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following:</p> <ol style="list-style-type: none"> 1. Planning and Priorities To recommend to GFC and/or the Board of Governors on planning and priorities with respect to the University’s longer term academic, financial, and facilities development.” <p>5. Board Learning and Development Committee (3. Mandate of the Committee) “Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching</p>

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	<p>and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”) and shall consider future educational expectations and challenges to be faced by the University. [...]</p> <p>Without limiting the generality of the of the foregoing the Committee shall:</p> <p>a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; [...]</p> <p>n. review and recommend to the Board any annual reports and any other major issues within the mandate of the committee; [...]</p> <p>The Committee shall review, evaluate, and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Broad participation has been sought across the campus over an 8-month period.</p> <p>-A record of the consultation process and the community feedback can be found online: https://uofa.ualberta.ca/strategic-plan</p> <p>-Two rounds of consultation have been completed in the 2015-16 academic year:</p> <ul style="list-style-type: none"> - Discussion paper consultation (September to February): 33 consultations with 860 participants - Draft plan consultation (February to April): 36 consultations, 1010 participants - Consultations included: Campus Forums, Roundtable Discussions, General Faculties Council, GFC Academic Planning Committee, GFC Academic Standards Committee, GFC Committee on the Learning Environment, Board Learning and Discovery Committee, Board University Relations Committee, Deans’ Council, Chairs’ Council, University Research Policy Committee, Students’ Union and Council of Faculty Associations, Graduate Students’ Association Executive and Board, Alumni Council, Senate and Faculty Councils
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Academic Planning Committee (May 11, 2016) General Faculties Council (May 30, 2016) Board Learning and Discovery Committee (June 2, 2016) Board of Governors (June 17, 2016)</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (page(s) 1-28) Institutional Strategic Plan: For the Public Good
2. Attachment 2 (1 page) Letter of Transmittal for the Institutional Strategic Plan: For the Public Good – for reference and input only



INSTITUTIONAL STRATEGIC PLAN
FOR THE PUBLIC GOOD

DRAFT

MAY 2016

The University of Alberta respectfully acknowledges that it is located on Treaty 6 territory.¹

¹Please note: This remains as placeholder text to be updated when an institutional territorial statement is finalized by the community.

DRAFT 3

INSTITUTIONAL STRATEGIC PLAN
FOR THE PUBLIC GOOD

MAY 2016 DRAFT

Vision

To inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world's great universities for the public good.

Mission

Within a vibrant and supportive learning environment, the University of Alberta discovers, disseminates, and applies new knowledge for the benefit of society through teaching and learning, research and creative activity, community involvement, and partnerships. The University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

Values

The University of Alberta community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.

Above all, **we value intellectual integrity, freedom of inquiry and expression, and the equality and dignity of all persons** as the foundation of ethical conduct in research, teaching, learning, and service.

We value **excellence** in teaching, research, and creative activity that enriches learning experiences, advances knowledge, inspires engaged citizenship, and promotes the public good.

We value **learners** at all stages of life and strive to provide an intellectually rewarding educational environment for all.

We value **academic freedom and institutional autonomy** as fundamental to open inquiry and the pursuit of truth.

We value **diversity, inclusivity, and equity** across and among our people, campuses, and disciplines.

We value **creativity and innovation** from the genesis of ideas through to the dissemination of knowledge.

We value the **history and traditions** of our university, celebrating with pride our people, achievements, and contributions to society.

At the University of Alberta, we begin with people—people with ideas, talent, and purpose. Then, we act.

We seek knowledge. We educate citizens. We ask the big questions. We push the limits of human understanding and knowledge. We engage with partners and communities close to home and around the world to lead positive change. We empower creative people to take risks and make imaginative leaps towards as yet undetermined futures.

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

When we act, we provide meaningful educational experiences, promote innovative thinking, and develop original and compelling solutions that matter. When we lead, we tackle the most important local, national, and global challenges. When we excel, our work sparks and feeds widespread social, cultural, and economic benefits for others—indeed for the uplifting of the whole people.

In *For the Public Good*—our institutional strategic plan for the coming decade—we embrace and affirm our vision to inspire the human spirit through outstanding achievements in learning, discovery, and citizenship in a creative community, building one of the world’s great universities for the public good.

We forge ahead, motivated and supported by the University of Alberta’s 108-year history of leadership, achievement, and public service. Inspired by this plan, we will strive to achieve the following strategic goals:

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

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

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

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

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

In pursuit of these shared goals, the University of Alberta will deepen our dedication to excellence and extend our record of public leadership, playing a lead role in building a better province, a better Canada, and a better world.

The University of Alberta is the province's leading educator, generator of new ideas, and engine of social, cultural, and economic prosperity. Created by one of the first acts of the legislature, our university is one of the province's most enduring and vital public institutions. As our name suggests, our history is bound to that of Alberta; the University of Alberta respectfully acknowledges that we stand on Treaty 6 Territory and the homelands of First Nations and Métis peoples. For more than a century, University of Alberta scholars have inspired graduates to become purposeful, active citizens and leaders. Our alumni—now numbering more than 260,000—have founded more than 70,000 organizations and businesses around the world, creating one and a half million jobs, nearly 400,000 in Alberta. Along with inspiring next-generation leaders, University of Alberta scholars have engaged in research and creative activities answering fundamental questions, building new industries and businesses, improving human health, fostering social, economic, and environmental change, and enhancing an innovative and vibrant arts and culture scene. They are world leaders in fields as diverse as energy, virology, literature, history, agricultural genomics and proteomics, and paleontology. Today, the University of Alberta is one of Canada's leading research universities. Standing with pride among the world's finest public institutions, the University of Alberta brings the ideas of Albertans to the world, and the world of ideas to Albertans.

BUILD

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

Through the development of strategic recruitment, retention, and renewal plans, the University of Alberta will build a community of exceptional students, educators, scholars, researchers, and staff from Alberta, Canada, and the world. We will foster an inclusive culture in which people excel through exchange and collaboration, enriched by the diversity of individuals, groups, disciplines, perspectives, approaches, and questions that characterize our community. We will sustain this culture and community through rich educational and life experiences in a supportive learning environment. We will engage Indigenous students and nations to create programs and spaces that acknowledge the complexities of Canada's history. We will celebrate the University of Alberta community and our achievements, enhancing our reputation in Alberta, across Canada, and around the world by defining, telling, and promoting our story.

To begin, we will attract outstanding students...

1. **OBJECTIVE:** Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.
 - i. **Strategy:** Develop and implement an undergraduate and graduate recruitment strategy to attract top students from across the diverse communities in Alberta and Canada, leveraging our strengths as a comprehensive research-intensive, multi-campus university with options for francophone and rural liberal arts education.
 - ii. **Strategy:** Develop and implement an undergraduate and graduate recruitment and retention strategy to attract Indigenous students from across Alberta and Canada.
 - iii. **Strategy:** Optimize our international recruiting strategies to attract well-qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.
 - iv. **Strategy:** Ensure that qualified undergraduate and graduate students can attend the university through the provision of robust student financial support.

...educated by exceptional faculty...

2. **OBJECTIVE:** Create a faculty renewal program that builds on the strengths of existing faculty and ensures the sustainable development of the University of Alberta's talented, highly qualified, and diverse academy.
 - i. **Strategy:** Attract and retain a diverse complement of faculty and post-doctoral fellows from around the world, with initial focus on increasing the proportion of assistant professors.
 - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting faculty to ensure a balanced academy, representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
 - iii. **Strategy:** Stabilize long-term investments in contract academic staff by offering career paths that include the possibility of continuing appointments based on demonstrated excellence in teaching.
 - iv. **Strategy:** Support career transitions and encourage professors emeriti to continue to share their expertise and experience through active engagement with the university community.

...in collaboration with highly-skilled staff...

3. **OBJECTIVE:** Support ongoing recruitment and retention of a highly-skilled, diverse community of non-academic and administrative staff by enriching the University of Alberta's working environment.
 - i. **Strategy:** Create pathways for career mobility and progression of non-academic, administrative, and academic staff members, which include opportunities such as secondments, exchanges, and job shadows.
 - ii. **Strategy:** Review, improve, and implement equity processes and procedures for recruiting and supporting staff to ensure that all categories of staff are representative of women, visible minorities, sexual and gender minorities, Indigenous peoples, and people with disabilities.
 - iii. **Strategy:** Encourage, facilitate, and reward the sharing of best practices by non-academic, administrative, and academic staff across units, faculties, and campuses.

...at a university committed to respectful relations with First Nations, Métis, and Inuit peoples.

4. **OBJECTIVE:** Develop, in consultation and collaboration with internal and external community stakeholders, a thoughtful, respectful, meaningful, and sustainable response to the report of the Truth and Reconciliation Commission of Canada.
 - i. **Strategy:** Foster learning opportunities across our campuses that enable student, staff, and faculty participation in reconciliation.
 - ii. **Strategy:** Build the Maskwa House of Learning as a place of understanding, welcome, and cultural connection, where Indigenous and non-Indigenous students together can grow and celebrate the unique and proud histories of Indigenous peoples, and where Indigenous students can access social, cultural, and spiritual supports that enable their academic success.
 - iii. **Strategy:** Evaluate and measure the University of Alberta's response to the TRC's Calls to Action and ensure effectiveness on an ongoing basis.

As a community, we recognize that our future is built on shared values...

5. **OBJECTIVE:** Build and strengthen trust, connection, and a sense of belonging among all members of the university community through a focus on shared values.
 - i. **Strategy:** Support and enhance activities, initiatives, and traditions that bond alumni, students, staff, faculty, and professors emeriti to the university.
 - ii. **Strategy:** Celebrate and support diversity and inclusivity.
 - iii. **Strategy:** Identify and increase opportunities to engage alumni and volunteers as valued advisers, mentors, volunteers, and interested constituents.
 - iv. **Strategy:** Appreciate and value the different roles staff, students, post-doctoral fellows, and faculty play on our campuses so that the institution as a whole can further benefit from their diverse skills, perspectives, and experiences.
 - v. **Strategy:** Foster trust through mutually respectful dialogue between individuals, faculties, departments, administrative units, and campuses, and create opportunities to learn from each other's cultural variations.
 - vi. **Strategy:** Encourage and support institution-wide initiatives, services, and programs, such as arts and cultural activities, intramurals, student groups, volunteering, clubs, and centres, which bring students from all faculties into community with each other.

...and our story is built on the accomplishments and contributions of our people.

6. **OBJECTIVE:** Build and support an integrated, cross-institutional strategy to demonstrate and enhance the University of Alberta's local, national, and international story, so that it is shared, understood, and valued by the full University of Alberta community and its many stakeholders.
 - i. **Strategy:** Discover an institution-wide, comprehensive brand platform (reputation, identity, image, and component stories) around the core institutional narrative: its promise, its mission, and its impact.
 - ii. **Strategy:** Engage and advocate strategically with all levels and orders of government and other key stakeholders, and identify and demonstrate how university activities intersect with their goals and strategies.
 - iii. **Strategy:** Communicate, using both quantitative and qualitative evidence, how the University of Alberta serves as a cornerstone of the community bringing widespread economic and societal benefits to all Albertans, as well as to national and international partners and stakeholders.

Stories told by University of Alberta alumni often share a common thematic arc. That arc tells of students being inspired by exceptional professors to pursue excellence, stretch themselves in new ways, and take on the responsibilities of public service and leadership. Undergraduate and graduate students, along with professional, continuing, and lifelong learners, continue to pursue transformative learning experiences that reveal and nurture their talents and prepare them for success. They seek an education that is rich with experiential learning, interdisciplinary depth, research opportunities, and engagement with business, government, and community organizations. At the University of Alberta, we strive to answer learners' intellectual and professional aspirations. Arts and science programs form the foundation of the university's broad network of professional faculties and continuing education opportunities. Our multi-campus environment offers students the benefits of an intimate liberal arts education at Augustana Campus or an immersive francophone education at Campus Saint-Jean, while being connected to one of Canada's most highly respected research universities. This diversity of opportunity, combined with our international, multicultural, and Indigenous populations of students, faculty, and staff, builds global citizens—leaders with the imagination, critical eye, and passion to rethink the status quo, diversify economies, and reinvigorate society.

EXPERIENCE

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

Pushing beyond the conventional, students, no matter their background, age, or stage of education, will experience learning as an integral part of all their activities at the University of Alberta. We will pay attention to the development of the whole person and will excel in providing learning environments that transform us, nurture our talents, expand our knowledge and skills, and enable our success. We will build innovative curricular and co-curricular experiential learning programs that engage students, faculty, and staff with issues, questions, and ideas relevant to community organizations, industry, and governments today. We will seek and sustain student success. We will mobilize the expertise of our faculty and expand access to educational experiences for continuing, professional, and lifelong learners.

By providing our students with exceptional experiences that link them to their futures, we will facilitate their success both within the curriculum...

7. **OBJECTIVE:** Increase graduate and undergraduate students' access to and participation in a broad range of curricular experiential learning opportunities that are well-integrated with program goals and enrich their academic experience.
 - i. **Strategy:** Increase students' experiential learning through mutually beneficial engagement with community, industry, professional, and government organizations locally, nationally, and internationally.
 - ii. **Strategy:** Develop global competency in our graduates through access to short- and long-term outbound international experiences.
 - iii. **Strategy:** Expand professional development opportunities for graduate students and post-doctoral fellows.

...and beyond.

8. **OBJECTIVE:** Create and facilitate co-curricular and extracurricular learning experiences for undergraduate and graduate students that enable their self-discovery and give them the skills to use their talents, creativity, and curiosity to contribute as future citizens and leaders.
 - i. **Strategy:** Increase the opportunities for all undergraduate and graduate students to experience the benefits of living on campus, including guaranteeing the offer of a place in residence to every first-year undergraduate student.
 - ii. **Strategy:** Expand and encourage student mentorship programs.
 - iii. **Strategy:** Support the roles of the Graduate Students' Association and Students' Union, along with other student groups, in the promotion of extracurricular programs that create a sense of community and support the learning environment.
 - iv. **Strategy:** Expand access to leadership development programs for undergraduate and graduate students, such as the Peter Lougheed Leadership College.
 - v. **Strategy:** Continue to support and enhance a student-athlete-centred university sport environment that facilitates the academic, athletic, and personal development of students.

Our multi-campus learning environment provides exciting opportunities to build a great and diverse university...

9. **OBJECTIVE:** Enhance, support, and mobilize the unique experiences and cultures of all University of Alberta campuses to the benefit of the university as a whole.
 - i. **Strategy:** Facilitate and deepen inter-campus connections, communication, and collaborations with Augustana Campus, and ensure that it is strengthened as a leading liberal arts college, and as a living laboratory for teaching and learning innovation, to the benefit of the entire university.
 - ii. **Strategy:** Highlight and strengthen the role that Campus Saint-Jean plays in reflecting and reinforcing the linguistic duality of Canada as well as the worldwide multi-ethnic Francophonie, by positioning the university locally, nationally, and internationally as a destination of choice for francophone and bilingual students, and by progressively improving Faculté Saint-Jean students' and applicants' access to French-language services.
 - iii. **Strategy:** Enhance collaborative, community-based learning activities and build on the relationships that have been developed through the programs offered at Enterprise Square and South Campus.

...opening doors to a lifetime of learning experiences.

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

- i. **Strategy:** Develop continuing and professional education programs that connect the knowledge-mobilization activities of the university's faculty members to the needs of diverse learner communities.
- ii. **Strategy:** Create a wide range of opportunities, both in person and virtual, for broad, learning-centred programs for alumni and other communities of learners engaging in continuing and professional education.

At the University of Alberta, excellence is both a goal and an attitude. We aspire to achieve the first and to inspire the latter. Motivated to excel, University of Alberta students, faculty, post-doctoral fellows, and staff have received many academic awards and distinctions over the history of the university, including 71 Rhodes Scholarships, 15 Banting Post-doctoral Fellowships, 41 3M National Teaching Fellowships, and three Governor General Awards for Literature. Many in our community are members of the Order of Canada (60), fellows of the Royal Society of Canada (138), members of the Alberta Order of Excellence (20), and winners of the Queen Elizabeth II Diamond Jubilee Medal (11)—honours that recognize not only outstanding research achievement, but also exceptional service and contribution to society. Researchers across the university consistently attract more than \$450 million in external research funding each year. When we excel as researchers, we create knowledge that translates into social, technical, and artistic innovations, new enterprises and community organizations, life-saving medical treatments and procedures, critically needed environmental protections, and more. When we excel as researchers, teachers, and students, we empower a culture that values curiosity, critical thinking, diversity, hard work, and ambition—all vital to advancing knowledge and inciting change for the public good. When we excel on the global stage, we connect Alberta and Canada to the world.

EXCEL

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

To excel and achieve our full potential as an institution and as individuals, the University of Alberta will sustain a learning and research culture that inspires, supports, and champions high professional standards and outstanding achievements in basic and applied research and scholarship, creative activity, administration, and governance. We will ensure that learning experiences at our university are of the highest quality, based on a practice of continuous improvement and innovation in teaching. From our broad-based strength as a comprehensive, research-intensive public university, we will highlight current and emerging areas of global distinction and leadership by building a portfolio of signature areas that distinguish us from among our peer institutions and exemplify the University of Alberta's capacity to engage in big questions and global challenges.

The foundation of our university is our breadth of inquiry...

11. **OBJECTIVE:** 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. **Strategy:** Encourage and champion achievements in a broad base of fundamental and applied research, scholarship, and creative activities.
- ii. **Strategy:** Support a culture of creativity, innovation and entrepreneurship among students, faculty, and staff where contributions to all sectors of society are rewarded, valued, and celebrated.
- iii. **Strategy:** Nurture, enable, and reward public intellectuals.
- iv. **Strategy:** Support and enhance translational initiatives that include TEC Edmonton and eHub, among others.
- v. **Strategy:** Advance the University of Alberta's reputation for excellence in research through a coordinated recognition, awards, and honours program.

...from which we will build areas of distinction.

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

- i. **Strategy:** Identify and support established and emerging areas of research and teaching distinction and distinctiveness, using the following criteria:
 - national and international stature for excellence, relevance, and impact
 - critical mass—opportunity for broad, interdisciplinary engagement
 - grassroots leadership, participation, and support from within our university community
 - stakeholder partnerships
 - research partners (international, community, government, industry)
 - capacity to shape and align with federal and provincial research funding priorities
 - student demand
 - physical and operational capacity
 - geographic or situational relevance
- ii. **Strategy:** Leverage provincial, national, and international funding programs and partnership opportunities that support the activities, impact, influence, and reach of signature areas.
- iii. **Strategy:** Encourage and facilitate knowledge and technology transfer to ensure that society can realize the benefits of intellectual capital arising from research and creative endeavours.
- iv. **Strategy:** Develop processes for identifying both emerging and declining areas of distinction and global leadership to sustain the vibrancy of the university's portfolio of signature areas.

Within a supportive, creative culture, we will foster excellence in research...

13. OBJECTIVE: Enable University of Alberta researchers to succeed and excel.

- i. **Strategy:** Expand services and supports for researchers at all career stages (undergraduate and graduate students, post-doctoral fellows, and faculty), including the development of research mentorships and Grant Assist programs.
- ii. **Strategy:** Maintain and pursue partnerships across the global academy to expand research and funding opportunities for our researchers and thus increase their capacity for success.
- iii. **Strategy:** Pursue strategies to increase the success of graduate students and post-doctoral fellows in national grant, scholarship, and award programs.
- iv. **Strategy:** Secure and sustain funding for the continuous evolution and operation of research facilities and resources (e.g., libraries, labs, Research Services Office, museums and collections, performance spaces, fine arts facilities, and U of A Press) to meet the changing needs of our broad-based research community.

- v. **Strategy:** Participate fully in matching programs and maintain and pursue memberships in relevant funding organizations to expand and leverage funding opportunities for the university and to increase our researchers' reach, influence, and impact.
- vi. **Strategy:** Seek and attract an exceptional cohort of post-doctoral fellows and support their participation in and contribution to the university's research environment.

...and teaching...

14. OBJECTIVE: Inspire, model, and support excellence in teaching and learning.

- i. **Strategy:** Foster, encourage, and support innovation and experimentation in curriculum development, teaching, and learning at the individual, unit, and institutional levels.
- ii. **Strategy:** Adopt a set of core graduate attributes, skills, and competencies at both the undergraduate and graduate level; develop strategies for implementing them in specific disciplines and programs; and monitor graduate outcomes to ensure continuous improvement.
- iii. **Strategy:** Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines.
- iv. **Strategy:** Create and support an institutional strategy that enables excellence in the design, deployment, and assessment of digital learning technologies.
- v. **Strategy:** Develop and implement programs and processes to assure high quality, collegial graduate student and post-doctoral fellow supervision and mentorship.

...through professional development.

15. OBJECTIVE: Foster a culture of excellence by enriching learning and professional development opportunities for staff, faculty, and post-doctoral fellows.

- i. **Strategy:** Expand access to professional development programs and learning opportunities for staff, faculty, and post-doctoral fellows.
- ii. **Strategy:** Establish mentorship programs at the institutional, faculty, and unit levels to nurture and support staff, faculty, and post-doctoral fellows throughout their professional careers.
- iii. **Strategy:** Support continued development of and participation in leadership programs for staff, faculty, and post-doctoral fellows.

From the earliest years when professors and staff travelled to rural communities to lecture on Shakespeare, agricultural practices, and more, the University of Alberta has been deeply embedded in communities both near and far. In 1908, founding president Henry Marshall Tory reminded Albertans that “the modern state university has sprung from a demand on the part of the people themselves” and promised “that knowledge shall not alone be the concern of scholars. The uplifting of the whole people shall be its final goal.” He challenged future generations not to forget this ultimate goal. It has not been forgotten. We continue to seek mutually beneficial, reciprocal connections and collaborations with partners throughout the global academy, as well as with local, rural, and Indigenous communities. We work with industry, business, and government to find solutions to shared problems. We engage with diverse partners to conduct and translate learning and research into evidence-based public policy, improved industrial practices, changed attitudes, and healthier, more compassionate communities. We sit at the centre of the province’s Campus Alberta and Edmonton’s City of Learners, working with our post-secondary partners to provide Albertans with multiple integrated pathways to achieve their educational goals and aspirations. We build multi-level, cross-sectoral national and international partnerships with high-ranking universities and institutions across Canada and the world. Through these efforts and more, we reaffirm Tory’s founding promise, and continue to grow as an university that endeavours to create and disseminate knowledge and scholarship for the benefit and uplifting of the whole people.

ENGAGE

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

To serve the public well, the University of Alberta will excel at listening, connecting, and collaborating with key partners across all sectors of society. We will strive to be relevant as well as excellent and actively disseminate what we learn and discover for the benefit of the public good. We will engage across disciplines, campuses, faculties, and units to create interdisciplinary learning experiences for our students that prepare them to face the complex nature of today's challenges and workplaces. We will continue to build and deepen mutually beneficial and reciprocal partnerships with local, provincial, national, and international communities, agencies, industries, businesses, and organizations. In doing so, we will expand and sustain the University of Alberta's leadership in major national and international initiatives and networks that increase our reach and influence as one of Canada's leading research universities.

Our ability to contribute to society will flow in large measure from our ability to connect with our communities...

16. **OBJECTIVE:** Enhance, increase, and sustain reciprocal, mutually beneficial community relations, community engagement, and community-engaged research and scholarship that will extend the reach, effectiveness, benefit, and value of our university-community connections.
- i. **Strategy:** Identify and embrace opportunities to build, strengthen, and extend the University of Alberta's connections to and engagement with external stakeholders, including the general public, neighbouring communities, ethnic and cultural communities, and other communities of practice.
 - ii. **Strategy:** Develop an integrated institutional strategy for fostering and rewarding community-engaged research and evaluation that is intentionally collaborative from research question design through to knowledge mobilization.
 - iii. **Strategy:** Engage with government, community, industry, business, and the post-secondary sector to address shared local, provincial, national, and global challenges.
 - iv. **Strategy:** Continue to build mutually beneficial, authentic relationships with alumni and donors.
 - v. **Strategy:** Welcome increased community access, participation, and engagement at all University of Alberta sites, such as our downtown campus at Enterprise Square and our sports facilities at South Campus.

...and to build interdisciplinary connections...

17. **OBJECTIVE:** Facilitate, build, and support interdisciplinary, cross-faculty, and cross-unit engagement and collaboration.
- i. **Strategy:** Identify and remove systemic barriers to interdisciplinarity, and where necessary, expand or create policies, resources, infrastructure, and strategies to encourage and reward academic and administrative partnerships and collaborations.
 - ii. **Strategy:** Incent the development of interdisciplinary and cross-faculty graduate and undergraduate teaching and learning initiatives, including programs, courses, and embedded certificates.
 - iii. **Strategy:** Develop mechanisms for identifying research expertise at the institution for more effective cultivation of emerging research opportunities and funding programs, particularly those requiring interdisciplinary research teams.

...that support institutional partnerships locally, nationally, and internationally.

18. **OBJECTIVE:** Seek, build, strengthen, and sustain partnerships with local, national, or international research agencies, governments, government ministries and agencies, universities, Indigenous communities, libraries, not-for-profits, industry, business, and community organizations.
- i. **Strategy:** Provide leadership in Alberta's post-secondary sector and support integration, collaboration, and partnership across the province's six-sector model to the benefit of all Albertans.
 - ii. **Strategy:** Participate and provide leadership in municipal, provincial, national, and international consortia, networks, and programs.
 - iii. **Strategy:** Encourage municipal, provincial, national, and international collaborations, partnerships, and MOUs at the institutional, faculty, department, unit, and individual levels.
 - iv. **Strategy:** Seek, enhance, and support partnerships with industry, including small and medium enterprises.
 - v. **Strategy:** Work closely with key provincial partners and government agencies, including members of Campus Alberta, Alberta Health Services, Alberta Innovates, The Alberta Library, NEOS, etc., to undertake mutually beneficial research, and where possible, co-ordinate, streamline, and deliver shared systems, services, and processes to the benefit of all Albertans.

As a proud public university, the University of Alberta not only serves the people of our province and our country, but also receives their steadfast support. We earn that support and trust because of the quality of our work and the benefits we bring to all Albertans and Canadians as a leading global institution founded on more than a century of excellence in teaching, learning, research, and service. We maintain that support and trust because we take seriously our responsibility to steward and sustain public investments in our people, operations, infrastructure, and systems. One of Canada's Greenest Employers since 2009, we strive to model sustainability as an integral part of university life, recognizing that the health and well-being of our people are tied to the health and well-being of our environment, economy, and social systems. The University of Alberta is a recognized leader in environmental sustainability and energy management in practice as well as in teaching and research. We promote a culture of continuous improvement in administration and governance, and ensure that our resources are used and sustained effectively to ensure the long-term vibrancy of our institution. We do this to the benefit of Campus Alberta as a whole: we share critical research infrastructure, provide systems and services to smaller institutions, facilitate student mobility, and build partnerships across the province to ensure that all Albertans have access to their provincial university and the benefits we offer.

SUSTAIN

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

To achieve our strategic goals, the University of Alberta will attract and steward the resources we need to excel and deliver our core teaching and research mission at the high standard expected by all Albertans. We will build on our capacities for securing new sources of operating, capital, research, and philanthropic funding. We will continue to model and advance teaching and learning in the area of environmental sustainability on our campuses and in our work. We must sustain our people by promoting health, wellness, and safety as a defining feature of the University of Alberta's learning and working experience, and by maintaining and enhancing the university's essential teaching, learning, and research infrastructure. Continuous improvement and cross-unit engagement and co-operation will define our approach to governance and administration to ensure that our systems, policies, and procedures facilitate the achievement of our shared goals.

Our success as an institution will be determined by our support for our people...

19. **OBJECTIVE:** Prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives.
- i. **Strategy:** Develop an integrated, institution-wide health and wellness strategy, which increases the reach and effectiveness of existing health and wellness resources, programs, and services, and promotes resilience and work-life balance.
 - ii. **Strategy:** Bolster resources for and increase access to mental health programs that provide support to students, faculty, and staff.
 - iii. **Strategy:** Endorse a strong culture of safety awareness, knowledge, planning, and practice to ensure the safety of students, employees, and visitors to our campuses.

...and our commitment to sustainability.

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

- i. **Strategy:** Integrate sustainability into teaching, learning, research, and outreach in ways that foster critical, interdisciplinary, long-term systemic thinking on sustainability.
- ii. **Strategy:** Embed social, economic, and environmental sustainability into the development and care of the university's natural and built environments.
- iii. **Strategy:** Enhance awareness of, and engagement with, the university's environmental sustainability features, practices, and resources across University of Alberta campuses and external communities.

Our commitment extends to administration and governance...

21. **OBJECTIVE:** 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. **Strategy:** Encourage transparency and improve communication across the university through clear consultation and decision-making processes, substantive and timely communication of information, and access to shared, reliable institutional data.
- ii. **Strategy:** Ensure that individual and institutional annual review processes align with and support key institutional strategic goals.
- iii. **Strategy:** Consolidate unit review and strategic planning processes, and where possible, align with accreditation processes, to ensure efficient assessment practices.
- iv. **Strategy:** Facilitate easy access to and use of university services and systems; reduce duplication and complexity; and encourage cross-institutional administrative and operational collaboration.
- v. **Strategy:** Develop a set of equitable, meaningful, and relevant measures to monitor our progress toward strategic goals and develop the tools required to report on them.

...financial resources....

22. **OBJECTIVE:** Secure and steward financial resources to sustain, enhance, promote, and facilitate the university's core mission and strategic goals.

- i. **Strategy:** Seek and secure resources needed to achieve and support our strategic goals.
- 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.
- iii. **Strategy:** Ensure responsible and accountable stewardship of the university's resources and demonstrate to government, donors, alumni, and community members the efficient and careful use of public and donor funds.

...and infrastructure.

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.
- ii. **Strategy:** Build, operate, and maintain undergraduate and graduate student housing to support our students' academic success and sense of belonging to the university community.
- iii. **Strategy:** Provide effective IT solutions and enhancements that enable secure and reliable delivery of high-quality programs and services.
- iv. **Strategy:** Engage and strategically partner with stakeholders to explore and develop joint-use projects.

The University of Alberta, one of this province's oldest public institutions, anchors Alberta's integrated, diverse post-secondary education sector. We stand among Canada's premier research-intensive, medical-doctoral universities. Our international ranking confirms our placement with the finest public universities in the world. As our mission states, the University of Alberta gives a national and international voice to innovation in our province, taking a lead role in placing Canada at the global forefront.

Leadership, we know, requires action and purpose. Leadership demands that we build on our existing foundational strengths; experience and disseminate the power of transformative ideas and opportunities; excel in all that we do; engage across disciplines, communities, and sectors; and sustain the vibrancy of our multi-campus communities.

As a community, we have developed a long-term, multi-layered plan. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We will regularly measure our progress and anticipate the need for an in-depth review in year five.

At the highest level, "For the Public Good" is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

Together, we will propel this great institution—the University of Alberta—to a place of unprecedented leadership, and in common cause, we will build a better province, a better Canada, and a better world.

INSTITUTIONAL STRATEGIC PLANNING ADVISORY COMMITTEE

David Turpin (Co-Chair)

Steven Dew (Co-Chair)

Lorne Babiuk (Vice-Chair)

Tim Caulfield

Walter Dixon

Joseph Doucet

Leanne Garon

Lars Hallstrom

Tammy Hopper

Jacqueline Leighton

Mackenzie Martin

Mary Persson

Fahim Rahman

Ann Revill

Jeremy Richards

Christie Schultz

Arya Sharma

Kisha Supernant

Kimberly TallBear

Jane Traynor

Helen Vallianatos

Sheena Wilson

Project leads:

Anne Bailey

Amy Dambrowitz

Project support:

Bobbi Schiestel



UAB.CA/STRATEGIC-PLAN | ENGAGE@UALBERTA.CA

To the University of Alberta community:

Please find the final draft of “For the Public Good” attached. Thank you for your engagement, advice, and feedback throughout the months of consultation and preparation of the document.

As a community, we have developed one long-term, multi-layered plan to guide the overall decision-making and governance processes of the University of Alberta. Some of the goals, objectives and strategies envisioned here can be implemented immediately; others will unfold over the course of the next decade. We anticipate the need for an in-depth review in year five.

At the highest level, “For the Public Good” is meant to empower and enable each member of the University of Alberta to build, experience, excel, engage, and sustain. The successful implementation of the plan will depend on all of us, individually and collectively, taking action.

Following approval of “For the Public Good,” we will have three immediate tasks.

The first will be to determine priorities for the short, medium, and long-term. The president and provost will lead this process and assign responsibility for specific goals at the institutional level. At the same time, leaders across the university will begin to develop, or continue to work towards, parallel strategic priorities and objectives that flow from the plan for specific faculties, departments, and units.

The second will be to develop an equitable, meaningful, and relevant set of qualitative and quantitative measures by which we will monitor our progress and success on an annual basis over the coming years. These measures will be determined by the president and provost in consultation with the Institutional Strategic Planning Advisory Committee, Board of Governors, vice-presidents and deans, General Faculties Council, and other key stakeholders across the university.

The third will be to create a transparent, effective, and sustainable annual institutional reporting process to ensure that we hold ourselves accountable to the plan at all levels of the university. As the title of this plan suggests, we must also develop avenues for internal and external communication of the university’s annual progress to demonstrate in detailed, concrete ways how we, as a public university, are indeed acting for the public good.

Once the plan is approved, we will continue to communicate frequently on the progress and outcomes of these initial steps.

David H. Turpin
President and Vice-ChancellorSteven Dew
Provost and Vice-President (Academic)

OUTLINE OF ISSUE

Agenda Title: **Proposed New Copyright Regulations**

Motion: THAT General Faculties Council recommend that the Board of Governors approve the proposed new Copyright Regulations for the various Academic Staff Agreements

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic) and Vice-President (Research)
Presenter	Steven Dew, Provost and Vice-President (Academic) Lorne Babiuk, Vice-President (Research)
Subject	Proposed New Copyright Regulations

Details

Responsibility	Provost and Vice-President (Academic) and Vice-President (Research)
The Purpose of the Proposal is (please be specific)	To clarify when the staff member owns copyright, and when the University owns copyright.
The Impact of the Proposal is	To update and revise the language in Article 10 related to copyright in the various academic collective agreements (APO Agreement, Faculty Agreement, FSO Agreement, Librarian Agreement, CAST Agreement, SOTS Agreement, TRAS Agreement).
Replaces/Revises (eg, policies, resolutions)	Article 10 in the various Academic Staff Agreements.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>The rules regarding copyright created by academic staff at the University are based on two documents; the Post-Secondary Learning Act (PSLA) and the collective agreements between the Board and the AASUA.</p> <p>The PSLA states:</p> <p>Intellectual Property 68(1) Unless otherwise agreed to by the board, the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board and may be made available to the public under conditions, on payment of fees or royalties or otherwise, as the board may determine.</p> <p>The collective agreements between the Board of Governors and AASUA have contained Copyright Regulations (as Articles and/or Appendices) since 1977. Over the years, there has been a significant amount of confusion when the parties have attempted to interpret the Copyright Regulations as it is not clear from the language when the University would own copyright and when it would be owned by the staff member. The generally accepted practice (although not strictly based on the language) has been to acknowledge that academic staff own the copyright in their teaching materials, but the University has some sort of</p>

	<p>limited license to use that material.</p> <p>In 2010, the University of Alberta and the AASUA agreed to form an “Agreement Review Committee” that would examine two aspects of intellectual property: a) copyright and b) the emerging issue of intellectual property that is not covered by patent or copyright practices. The ARC that was created has focused solely on the first issue - copyright. This ARC has been meeting regularly since and has developed proposed new Copyright Regulations which would replace the existing regulations in their entirety. The ARC believes that the new language creates greater certainty as it relates to copyright ownership and use.</p> <p>The key elements of the proposed new Regulations include:</p> <ol style="list-style-type: none"> 1. <i>Clear ownership by academic staff of copyright in works they create as a result of or connected with their duties or employment.</i> 2. <i>An immediate, non-exclusive, royalty-free, non-transferable and irrevocable license to the University to use these works for purposes related to its approved mandate.</i> 3. <i>A more limited license to the University to use a staff member’s detailed teaching materials, for example if the staff member is unable or unavailable to deliver all or part of a course assigned to that staff member during that academic year.</i> 4. <i>Ownership by the University of copyright of works created by a staff member in the course of performing administrative or management duties or activities.</i> 5. <i>A clear statement that a staff member’s copyright in works created as part of a sponsored research agreement is governed by the terms of that agreement. This gives the University the right to alter copyright ownership in a sponsored research agreement, the way it is currently able to be done for Patentable Intellectual Property.</i> <p>*It is important to note that the proposed Regulations deal with copyright that is created by a University of Alberta academic staff member in performing his employment duties. It does <u>not</u> apply to the use by the University of copyright materials from other sources (textbooks, library books, online sources, etc). There is a separate policy suite being drafted that deals with such issues.</p>
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Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Dare to Discover, Dare to Deliver, Comprehensive Institutional Plan, academic collective agreements</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA): Alberta’s Post-Secondary Learning Act (PSLA) gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)).</p>

Further, the Board of Governors “must consider the recommendations of the general faculties council, if any, on matters of academic import prior to providing for [...] any other activities the board considers necessary or advantageous” (Section 19(e)).

2. Post-Secondary Learning Act (PSLA): Section 26(1) states that, “[s]ubject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to [...] (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university [...].”

Further, the PSLA, states in Section 31(1) that “[t]he general faculties council has general supervision of student affairs at a university [...].”

3. GFC Committee on the Learning Environment Terms of Reference (3. Mandate of the Committee)

“The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following: [...]

b) To review and, as necessary, recommend to the GFC Academic Planning Committee or the GFC Executive Committee policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University’s Academic Plan. [...]

i) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.”

4. GFC Academic Planning Committee Terms of Reference (3. Mandate of the Committee)

“The Academic Planning Committee (APC) is GFC’s senior committee dealing with academic, financial and planning issues. As such, it is not only responsible to GFC (or the Board) for the specific matters itemized below, but may also ask to consider or recommend to GFC on any academic issue, including: 1) those issues under the purview of other GFC committees, 2) any academic issue related to restructuring, 3) any research-related issue, or 4) issues linked to academic service units where those issues have a significant academic impact. In like manner, the President, Provost and Vice-President (academic) or other Vice-Presidents may refer any matter to APC for consideration or recommendation to GFC. APC is also responsible to GFC for promoting an optimal learning environment for students and excellence in teaching, research, and graduate studies. (GFC 29 SEP 2003)”

5. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)

“5. Agendas of General Faculties Council

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

	<p>When recommendations are forwarded to General Faculties Council from APC, the role of the Executive shall be to decide the order in which items should be considered by GFC. The Executive Committee is responsible for providing general advice to the Chari about proposals being forwarded from APC to GFC.”</p> <p>6. Board Learning and Discovery Committee Terms of Reference (3. Mandate of the Committee) “Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the Post-Secondary Learning Act, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: a. review and approve initiatives related to the overall academic mission and related plans and policies of the University; b. review, provide feedback and approve teaching and research policies[.] [...]”</p> <p>7. Board Human Resources and Compensation Committee (3. Mandate of the Committee) “Except as provided in paragraph 4 and in the Board’s General Committee Terms of Reference, the Committee shall monitor, evaluate, advise and make decisions on behalf of the Board with respect to, and the Board delegates to the Committee responsibility and authority for, all policies and procedures affecting staff working condition sat the University and matters for collective bargaining and related service contracts. The Committee shall also consider any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: (a) consider and propose changes in collective agreements and confirm the mandate for negotiating committees with all bargaining units;[...] (g) review and approve material changes to personnel policies of the University that are outside the regular collective bargaining process and consider trends affecting such policies;”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>The Agreement Review Committee (ARC) on Copyright Regulations has met regularly since 2010, and both parties have also had numerous internal meetings. The composition of the ARC’s membership has changed significantly over time; the Vice-President (Research) has been a member from the beginning, as has Geoffrey Rockwell (Department of Philosophy). They have provided important continuity to the discussions over the past six years.</p> <p>During 2010, before detailed discussions began, a review of the copyright regulations of some of the University’s peer institutions in Canada (McGill, UBC, University of Toronto) and the US (University of</p>
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Item No. 5

	<p>Wisconsin, University of Michigan, Penn State) was carried out. This provided important context for the discussion about possible changes to the University's copyright regulations.</p> <p>While significant work was done by email between meetings, the ARC met face to face on the following dates: December 20, 2010; February 16, 2011; February 28, 2011; April 1, 2011; April 26, 2011; December 19, 2011; February 14, 2012; October 26, 2012; May 14, 2013; June 19, 2013; October 28, 2013; September 5, 2014; October 17, 2014; and December 11, 2014. A significant portion of 2015 was taken up with finalizing the wording of the Copyright Regulations as well as drafting and finalizing a series of Frequently Asked Questions which will be posted on the AASUA website following the approval of the new Copyright Regulations. The Memorandum of Agreement (MOA) was signed on February 26, 2016.</p> <p>There will be a parallel approval process, involving both the AASUA membership as well as GFC/Board. The approval route noted below is for GFC/Board, which is the responsibility of administration.</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Committee on the Learning Environment (for recommendation) – April 6, 2016 GFC Academic Planning Committee (for recommendation) – April 20, 2016 GFC Executive Committee – May 16, 2016 General Faculties Council – May 30, 2016 Board Human Resources and Compensation Committee – May 31, 2016 Board Learning and Discovery Committee – June 2, 2016 Board of Governors – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (page(s) 1 - 27) Memorandum of Agreement, signed by the AASUA and University administration on February 26, 2016
2. Attachment 2 (page(s) 1 - 7) Frequently Asked Questions Concerning the New Copyright Regulations, developed by the AASUA and University administration, dated March 5, 2016

Prepared by: Katharine Moore, Office of the Vice-President (Research)
email: katharine.moore@ualberta.ca; phone x20868

MEMORANDUM OF AGREEMENT

Between:

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

(The "AASUA")

- and -

**THE GOVERNORS OF
THE UNIVERSITY OF ALBERTA**

(The "Board")

RE: COPYRIGHT

WHEREAS:

The various collective agreements between the Board and the AASUA contain provisions under Article 10, ("Copyright") and Appendix B ("Copyright Regulations") that relate to copyright ownership, which together comprise the "Copyright Rules";

The parties signed a Memorandum of Understanding dated January 12, 2010 to establish an Agreement Review Committee (ARC) for the purpose of reviewing and recommending changes to the Copyright Rules;

The ARC has been established and has completed its work in accordance with the Memorandum of Understanding;

THEREFORE the ARC is recommending ratification of the following changes to the Copyright Rules appearing under each of the following agreements:

1. FACULTY AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.

- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

**Appendix B
Copyright Regulations**

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, including an agreement under Article 7.02.2 of the Agreement, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act* (Alberta).
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.02.1 and 7.03.1 of the Agreement.

- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;

- (b) a written agreement between the University and another organization; or
- (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

2. FACULTY SERVICE OFFICER AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

Appendix B Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.

- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdatedness, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01 and 7.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

3. LIBRARIAN AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

**Appendix B
Copyright Regulations**

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act* (Canada), whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act* (Canada).
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.

- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act* (Alberta).
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01.1, 7.01.2, 7.02.2 and 7.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign

copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

4. ADMINISTRATIVE AND PROFESSIONAL OFFICER AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix B.
- 10.04 Appendix B contains the detailed terms regarding Works created by a staff member.

Appendix B is deleted in its entirety and replaced with the following;

Appendix B Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the

third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.9 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.9 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.02 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.9 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

5. CONTRACT ACADEMIC STAFF: TEACHING AGREEMENT

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

Appendix E is deleted in its entirety and replaced with the following:

Appendix E Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work

(a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or

(b) for the purposes of a committee or group of a Department, Faculty, or the University;

then the University owns copyright in the Work.

1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.

2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.

2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to

cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.

- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdating, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials for a term of three (3) years from the date that the materials are last revised by the staff member and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns

copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

6. TRUST/RESEARCH ACADEMIC STAFF

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act* (Alberta), unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be

made available to the public under conditions, on payment of fees or royalties, as the University may determine.

- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix F.
- 10.04 Appendix F contains the detailed terms regarding Works created by a staff member.

Appendix F is deleted in its entirety and replaced with the following;

Appendix F Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
 - (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.

- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 7.01, 7.03 and 7.05 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.
- 2.10 If a staff member is assigned course responsibilities under Article 7.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the

case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.

- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

- 6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

7. SESSIONALS AND OTHER TEMPORARY STAFF

Article 10 is deleted in its entirety and replaced with the following:

- 10.01 Pursuant to the *Post-Secondary Learning Act (Alberta)*, unless otherwise agreed to by the University, the ownership of any work, information or material, regardless of form, including any copyright acquired or produced by an employee of the University that results from or is connected with the employee's duties or employment, vests in the University and may be made available to the public under conditions, on payment of fees or royalties, as the University may determine.
- 10.02 The University hereby agrees that a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work.
- 10.03 Notwithstanding 10.02, the University will own or have an interest in certain Works, as described in Appendix E.
- 10.04 Appendix E contains the detailed terms regarding Works created by a staff member.

Appendix E is deleted in its entirety and replaced with the following;

Appendix E

Copyright Regulations

1. Ownership

- 1.1 Pursuant to 10.02 of the Agreement, a staff member who creates a Work resulting from or connected with the staff member's duties or employment owns copyright in the Work. However, the University owns or has an interest in Works as provided in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, 3.1, 5.1, and 5.2 of this Appendix.
- 1.2 For the purposes of this Appendix and Article 10 of the Agreement, "Work" or "Works" means anything in which copyright subsists pursuant to the *Copyright Act (Canada)*, whether published or unpublished. For greater certainty, Work includes: architectural works, artistic works, choreographic works, cinematographic works, collective works, dramatic works, literary works, musical works, compilations, performers' performances, sound recordings and communication signals, all as defined in the *Copyright Act (Canada)*.
- 1.3 A creator has moral rights in a Work, as provided under the *Copyright Act*. The Parties endorse and support the creator's right to manage those moral rights.
- 1.4 If a staff member creates a Work
- (a) in the course of performing administrative or management duties or activities for the University, a Department, or a Faculty, including all units therein associated (e.g., Centres and Institutes); or
 - (b) for the purposes of a committee or group of a Department, Faculty, or the University;
- then the University owns copyright in the Work.
- 1.5 If a staff member creates a Work pursuant to a written agreement between the staff member and the University, that agreement shall address the University's arrangement with the staff member regarding ownership or other interest in that Work.
- 1.6 If a staff member creates a Work under a sponsored research funding agreement with a third party funder, copyright ownership and licensing are governed by the terms of the sponsored research funding agreement. Because the University shall enter into the sponsored research funding agreement with the sponsor, the University has the right to obtain from the staff member an assignment or licence of the copyright as necessary to fulfill its obligations to the sponsor under the sponsored research funding agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.
- 1.7 If a staff member creates a Work under any other agreement between the University and a third party, including but not limited to a secondment agreement or facility access agreement, copyright ownership and licensing are governed by the terms of the agreement between the University and the third party. To avoid any need for the staff member personally to transfer or agree to transfer rights relating to the Work to the third party (which may entail the personal liability of the staff member), the University has the right to obtain from the staff

member an assignment or licence of the copyright as necessary to fulfill its obligations to the third party under the agreement. However, the staff member cannot unilaterally assign or licence Works that are not wholly owned or created by that staff member.

2 University Licence

General Principles

- 2.1 Subject to 2.2 to 2.10 inclusive, the University is and shall be entitled to an immediate, non-exclusive, royalty-free, non-transferable, irrevocable licence to use any Work created or produced by a staff member that results from or is connected with the staff member's duties or employment, for all purposes within the University's approved mandate pursuant to the *Post-Secondary Learning Act (Alberta)*.
- 2.2 The purposes referred to in 2.1 include, but are not be limited to, unit accreditation, unit or University marketing, and any not-for-profit activity.
- 2.3 The licence contemplated by 2.1 does not apply if, as a result of reasonable academic or pedagogical publishing practice, a staff member must assign copyright to a Work to a third party as a condition of publication. In such a case, the staff member shall make best efforts to cause the third party to provide a licence to the University in relation to the Work, such licence containing terms that are analogous to those described in 2.1.
- 2.4 The licence contemplated by 2.1 does not preclude a staff member from agreeing with the University to grant any additional licence or other rights in and to a Work to the University.
- 2.5 A staff member, reasonably believing that his or her Work is unsatisfactory for a proposed use due to outdated, incompleteness, negative impact on the professional reputation of the staff member, or other academic grounds, may amend the Work or require that its use be withheld.

Limited Exception – Works Created to Fulfill Assigned Course Responsibilities

- 2.6 Except in the cases described in 2.7 to 2.10 inclusive, the licence contemplated by 2.1 does not apply to any Work created by a staff member to fulfill assigned course responsibilities under Articles 8.01 and 8.03 of the Agreement.
- 2.7 The licence contemplated by 2.1 includes those elements of a course outline that set out the information required by General Faculties Council policy, as described in the University Calendar.
- 2.8 If a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use the Work described in 2.6 to complete the delivery of the course. Such a licence will not be irrevocable, but instead will be for the duration of the course in that academic year.
- 2.9 The University may use a Work described in 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.

- 2.10 If a staff member is assigned course responsibilities under Article 8.03 of the Agreement that entail the preparation of course materials for use in multiple courses or courses taught in multiple sections, the licence contemplated by 2.1 applies to those materials and it shall not be an interference in the creator's moral rights for the University to modify the course materials as required for the purpose of keeping them current.

3. Computer Programs and the University Patent Policy

- 3.1 In addition to this Appendix, the University Patent Policy shall apply to a computer program that is patentable intellectual property.

4. Conflict of Interest and Conflict of Commitment

- 4.1 The University has an interest in ensuring that Works created by its own staff members are not used to compete with or undermine the University's educational mission or activities. Therefore, a staff member's creation and use of Works in which the staff member owns copyright remain subject to the University's conflict of interest and conflict of commitment policies.

5. Collaborative Works

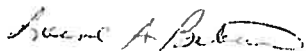
- 5.1 Works created collaboratively by students, staff, faculty and/or others present special challenges with regard to copyright. Such works may be owned in whole or in part by the University, or the University may have rights in and to those Works if they fall within one of the categories described in 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix.
- 5.2 Subject to 1.4 to 1.7 inclusive, 2.1 to 2.10 inclusive, or 3.1 of this Appendix, if a Work is created by a staff member and one or more other individuals governed by University collective agreements, policies, and procedures, as between the University and that staff member and the individual or individuals, each person's rights and obligations relating to the Work shall be determined by the applicable University collective agreements, policies, and procedures. In the case of some collaborative Works, especially those involving members of different categories of persons within the University community, the parties involved may decide to assign copyright to the University in order to coordinate distribution, use, and (when appropriate) revenue sharing.
- 5.3 If a Work is created by a staff member and an individual or individuals who are not subject to University collective agreements, policies, and procedures, ownership of copyright will be decided in accordance with:
- (a) a written agreement between that staff member and that individual or those individuals;
 - (b) a written agreement between the University and another organization; or
 - (c) in the absence of an agreement contemplated by (a) or (b), in accordance with the general law, except that this Appendix will apply to any interest held by the staff member, with the necessary changes.

6. Guidelines

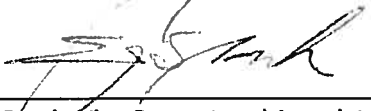
6.1 The University may publish guidelines, recommendations, and explanatory notes which shall not form part of this Appendix, to assist staff members and others to structure collaborations in ways that maximize certainty and minimize conflicts respecting interests in Works, and to assist in the application or use of this Appendix.

Signed this 26 day of FEBRUARY, 2016

On behalf of the Governors
of the University of Alberta:




Lorne Babiuk, Vice-President (Research)



Jay Spark, Vice-Provost and Associate
Vice-President (Human Resources)

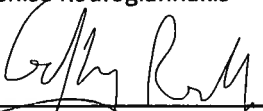
On behalf of the Association of the Academic
Staff of the University of Alberta:



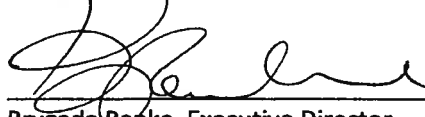
Heather Bruce, President



Denise Koufogiannakis



Geoffrey Rockwell



Brygeda Renke, Executive Director

Frequently Asked Questions Concerning the New Copyright Regulations

Please Note: These FAQs are for the information of academic staff members, and shall not be used by any party in any dispute over the interpretation of the Regulations.

1. What prompted the creation of the Agreement Review Committee (ARC) and the drafting of the new Copyright Regulations?

When the Association of Academic Staff negotiated the patent policy with the Board of Governors, it was recognized that the collective agreement provisions regarding copyright needed substantial revision. Under the Post-secondary Learning Act of Alberta, whatever rights staff have as individuals to their creative work is governed by the collective agreements between the AASUA and the Board. As was seen at the time of the patent review, the current language is quite opaque and in need of revision. Recognizing the need for change, the Board and AASUA agreed to form an “Agreement Review Committee” that would examine provisions of our collective agreements regarding copyright, and to review two aspects of intellectual property: copyright and the emerging issue of intellectual property that is not covered by patent or copyright practices. The membership of this ARC has changed over time, but both the Board and the AASUA are pleased to bring forward new Copyright Regulations.

2. Why did this process take so long?

Due to the membership of the ARC and various members going on sabbatical leave or unable to serve on the ARC due to their work responsibilities, it was difficult to schedule meetings. It also took time to deliberate on the issues and to write language that was agreeable to both sides.

3. What are the key principles underlying the new Copyright Regulations?

First, the idea was to replace confusing and out of date language in the academic staff collective agreements with language that would provide academic staff and the Board with clear guidance on the subject.

Second, the idea was to replace language asserting that the Board owns the copyright of staff works in Article 10 with language starting with the principle that staff own the copyright to their work, with some exceptions, discussed below.

Third, we wanted to add protections to ensure that the Board would have a license to use the work of staff to do its core business in certain circumstances.

Fourth, we settled on the principle benefiting both parties that in cases where the University needed ongoing access to copyrighted materials, a non-exclusive license would allow staff to do what they wanted with materials they created even if they leave the University, while still allowing the University to continue to use key materials for specific purposes.

4. If we didn't have a collective agreement, who would own copyright in works produced by academic staff in the course of their duties?

In the absence of provisions within a collective agreement, the Board of Governors – not academic staff - would own the copyright to Works that “result from” or “are connected with”, staff members’ duties or employment. Section 68 of the *Post-Secondary Learning Act* provides as follows:

68(1) Unless otherwise agreed to by the board, **the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by an officer of the post-secondary institution or an employee of the board that results from or is connected with the officer's or employee's duties or employment vests in the board** and may be made available to the public under conditions, on payment of fees or royalties or otherwise, as the board may determine.

(2) The board may compensate a person described in subsection (1).

(3) The board may enter into an agreement with a person to whom the board has provided or proposes to provide facilities, equipment or financial aid providing for the respective rights, obligations and liabilities of the board and the person with respect to the ownership of any invention, work, information or material, regardless of form, including any patent, copyright, technological or industrial design process or trademark acquired or produced by the person while engaged in a project funded in whole or in part by the board.

5. To what creative products do the Copyright Regulations apply? What counts as a “Work”?

For the purposes of the Copyright Regulations, a Work is any creative product respecting which copyright is recognized under the *Copyright Act*. Very generally, copyright applies to original literary, dramatic, musical or artistic works – regardless of format or technology of presentation (digital movies as much as handwritten plays). Copyright also applies (for example) to “performers’ performances,” which would include lectures.

The Regulations would also apply, for example, to online course products, such as “MOOCs”. Keep in mind, though, that these sorts of projects can be expensive and involve many parties. It would be very likely that intellectual property rights will be dealt with by the contract(s) that establish the project (see 1.5, 5). If a staff member chooses to enter into these sorts of contracts, the terms of the contracts shall govern copyright ownership.

The Copyright Regulations do not apply to creative products that are not governed by the *Copyright Act*, such as inventions that fall under the Patent Policy, industrial designs, or trademarks.

6. What are the main elements of the Copyright Regulations?

Basic rule – paragraph 1.1: a staff member who creates a Work resulting from or connected with the staff member’s duties or employment **owns copyright in the work, with some exceptions discussed below.**

At the same time, Works are licensed to the University – paragraph 2.1: the University is entitled to a licence (details about this below) to a Work referred to in paragraph 1.1, for all purposes within the University’s approved mandate under the PSLA.

Exceptions to the University’s licence are referred to in paragraphs 2.1 – 2.6: the licence does **not** apply to any Work created by a staff member “to fulfill assigned course responsibilities” (details about this below – the point: no paragraph 2.1 licence to teaching materials).

Despite those exceptions, and in specified circumstances, the University has limited rights to use even materials described in paragraphs 2.6 – 2.8, 2.9 (and paragraph 2.10 for some categories of Academic staff): e.g., if a staff member is unavailable or unable to deliver all or part of a course duly assigned to the staff member (the University’s rights will be only for the duration of the course for that academic year)

7. Are there any situations in which an academic staff member would not own copyright in a Work that he or she produced in connection with employment duties?

There are situations in which a staff member would not own copyright in a Work produced in connection with job responsibilities.

Under paragraph 1.4, a staff member would not have copyright in Work produced – generally – for administrative purposes. While 1.4 provides some context, guidance may also be provided by the “frequently asked questions” that will be prepared.

Paragraph 1.5 recognizes that a staff member may create a Work pursuant to a written agreement – he or she may be hired by the University to produce some creative product. Intellectual property rights respecting that creative product will be addressed in the agreement.

Paragraph 1.6 recognizes that some types of research funding have provisions respecting intellectual property ownership – a condition of receiving the funding is complying with the intellectual property aspects of the arrangement. It may be that under the terms of a funding arrangement, the funder is to hold copyright in works produced with the research funding. The University, as intermediary between the researcher and the funder, may “obtain from the staff member an assignment or licence of the copyright as necessary to fulfill [the University’s] obligations to the sponsor under the sponsored research funding agreement.”

Paragraph 1.7 recognizes that a staff member may – e.g., during a secondment – create Works pursuant to a contract between the University and a third party. In these cases, copyright ownership and licensing are governed by such agreements.

8. Do the Copyright Regulations recognize “moral rights”?

Yes. “Moral rights,” generally, are rights to claim authorship, to remain anonymous, or to use a pseudonym; the right of integrity (the right to resist distortion or modification of a work that is prejudicial to the honour or reputation of the creator); and the right of association (the right to resist the use of a work in association with a product, service, cause, or institution, if such use would be prejudicial to the honour or reputation of the creator).

Moral rights are recognized in paragraph 1.3.

Additionally, paragraph 2.5 describes an academic type of moral right: A staff member who reasonably believes that his or her Work is unsatisfactory for a proposed use because it is outdated, it is incomplete, its use would have a negative effect on the professional reputation of the staff member, or there are “other academic grounds” to oppose its use, “may amend the Work or require that its use be withheld. This right is an express limitation to the University’s paragraph 2.1 licence.

9. What is the nature of the University’s licence to use Works created by academic staff, referred to in paragraph 2.1?

The licence is

- (a) “immediate” – it comes into existence when the Work comes into existence; no (e.g.) written licence agreement is necessary;
- (b) “non-exclusive” – the staff member may grant licences to use the Work to others;
- (c) “royalty free” – the staff member is not paid royalties for the University’s use of the Work (this is because – the Work having been created in the course of employment duties – the University has supported its production financially);
- (d) “non-transferrable” – the University cannot transfer its licence to a third party (e.g. some sort of third party educational services provider); and
- (e) “irrevocable” – the staff member can’t unilaterally cancel the licence.

The licence is a right or permission to use the Work “for all purposes within the University’s approved mandate” under the PSLA. Paragraph 2.2 provides some examples of these purposes.

Paragraph 2.4 recognizes that a staff member may agree to grant additional licence rights to the University.

10. What if, as a condition of publication, a publisher requires the assignment of copyright from the creator?

Under paragraph 2.3, if a publisher requires the assignment of copyright to the publisher as a condition of publishing, then the staff member has no copyright to licence to the University. The paragraph 2.1 licence, then, does not arise. The staff member is required to make “best efforts” to have a licence analogous to the paragraph 2.1 licence extended to the University. Best efforts is assessed within the context of the situation. It requires doing that which is known to be usual, necessary and proper in attempting to secure the objective.

11. Are there any Works – besides those referred to in paragraph 2.3 – respecting which the University does not have a paragraph 2.1 licence?

Yes. Generally, paragraph 2.6 excludes teaching materials from the paragraph 2.1 licence, with certain exceptions (see question 13).

12. But are there any circumstances in which the University could have a licence even to teaching materials?

Yes, in defined circumstances:

(a) Under paragraph 2.7, the paragraph 2.1 licence extends to course outlines – but only concerning those elements of a course outline that set out information required by GFC Policy (that is, the paragraph 2.7 exception does **not** capture a full syllabus or course readings and topics).

(b) Under paragraph 2.8, if a staff member is unable or unavailable to deliver all or part of a course duly assigned to that staff member, the University may use that staff member’s teaching materials to complete the delivery of the course. This clause would apply, for example, if a staff member died, became ill, or quit – the University would be under an obligation to registered students to finish the course, and the staff member’s materials could be used to do so. The paragraph 2.8 licence is good for the duration of the academic year in question only. Note that it only applies if a course has been “duly assigned.” The University could not – for example – use an instructor’s materials to deliver a course without having first assigned that instructor to that course.

(c) Under paragraph 2.9, “[t]he University may use a Work described in paragraph 2.6 for the purposes of unit accreditation, in connection with transfer credit determinations or as the University may be required to meet its obligations to students.”

13. What does paragraph 3.1 – which deals with computer programs – mean?

Human generated computer code (software), which gives rise to computer programs, are copyright-protected. In some cases, however, the integration of software in inventions may be protected under patent rules. Hence, not only copyright but patent rules may apply “to software

that is patentable intellectual property.” If a computer program is not patentable it remains protected by copyright law only.

14. What if a staff member uses his or her copyright-protected works to provide educational services for a competitor University?

The Copyright Regulations deal with copyright ownership. Use of copyright protected materials is still subject to the collective agreements, University policies and procedures, and the general law. The point of paragraph 4.1 is that staff members’ use of copyright protected works is subject to the University’s conflict of commitment and conflict of interest policy.

15. What happens if a Work is created through the efforts of University personnel, (e.g.) a grad supervisor and a student, or an academic staff member and a non-academic staff member?

Paragraph 5.1 acknowledges that Works created collaboratively” present special challenges regarding copyright.” Paragraph 5.2 - if the creators are University personnel, the relevant provisions of policies, procedures and collective agreements (including the Copyright Regulations) will apply. Paragraph 5.3 - if a written agreement is in place with third parties, then that agreement will apply, or the general law in the absence of such an agreement. Given the challenges, potential collaborators should consider copyright ownership issues as soon as possible and consider entering a written agreement to deal with ownership issues before starting the collaboration.

16. How do the Copyright Regulations govern staff members’ intellectual property rights with third parties?

The Copyright Regulations govern the relationship between staff members as employees, and the Board as their employer, under the collective agreements. Ownership of Works created by staff with or for publishers, external collaborators, funders, and (e.g.) the Tri-Council is determined by a combination of the terms of the Copyright Regulations and the terms of the agreements with those third parties (see paragraphs 1.6, 1.7 and 5.3).

It is important to note that copyright law is not the only area of law that applies to copyrighted Works. For example, the law of defamation) also applies to uses of copyrighted Works.

17. Who do I contact if I have questions about my rights in a copyrighted work?

The AASUA should be your first point of contact, and is available to assist its members in discussions with University representatives on questions which may arise relating to rights to a copyrighted work.

18. Why is paragraph 2.10 included in the CAS:T, SOTS and TRAS agreements only?

It was recognized that in certain circumstances the University needs to be able to assign to these categories of staff members the creation of “multi-course” or “multi-section” materials, with the

University obtaining a license to use such materials in the future. The more temporary nature of appointments under these agreements means the University needs to ensure it has the right to continue to use such materials past the end date of a staff member's appointment.

19. Why does the CAS:T agreement make reference to the length of the license back to the University?

Since CAS:T representatives on AASUA Council felt that limiting the duration that the University could use their material for continuing teaching was important, the University agreed to their request to limit the length of the license to three years.

5 March 2016

OUTLINE OF ISSUE

Agenda Title: **Proposal for an Embedded Credit Certificate in Interdisciplinary Leadership Studies, Faculty of Business**

Motion: THAT General Faculties Council, on the recommendation of the GFC Academic Standards Committee, approve the Embedded Credit Certificate in Interdisciplinary Leadership Studies, as submitted by the Faculty of Business, and as set forth in Attachment 1, to be effective upon approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Elaine F. Geddes, Associate Dean, Undergraduate Programs, Faculty of Business
Presenter	Joseph Doucet, Dean, Faculty of Business; Elaine F. Geddes, Associate Dean, Undergraduate Programs, Faculty of Business; Nat Kav, Chair, GFC Academic Standards Committee
Subject	Proposed Embedded Certificate in Interdisciplinary Leadership Studies

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	<p>The Certificate in Interdisciplinary Leadership Studies will provide students with formal recognition of the leadership skills they have acquired through their coursework and through their experiences at the PLLC. The certificate will indicate to employers and graduate schools that the students have taken courses, have participated in co-curricular programs, and have had stretch experiences through which they have developed the ability to tackle the challenges of leadership in all aspects of their lives. It will be available to students in multiple Faculties.</p> <p>An Inaugural Class was recruited in 2015 and began their studies in September 2015 with the courses INT D 301 and INT D 306. If the Certificate is approved, these students and students in subsequent classes will be awarded the Certificate upon completion of the required coursework and the stretch experience.</p>
The Impact of the Proposal is	PLLC will create opportunities for learning that will develop leadership skills and competences through enhanced formal and co-curricular programs, experiential learning, engagement with a wide range of leadership styles, commitment to ethical behaviour and social responsibility, and with access to excellence in mentorship.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	Upon approval
Estimated Cost	Funding to support the Certificate and related activities is in place, and no funding will be diverted from other University of Alberta sources.
Sources of Funding	The Peter Lougheed Leadership College is supported by dedicated Government of Alberta funding and by private donors.
Notes	It was noted by the GFC Academic Standards Committee that Faculty requirements may preclude certain students (such as those with practicum experiences, university athletes, etc) from participating in the certificate due to the scheduling of courses; consideration will be given to

	<p>how these students can be accommodated in the future.</p> <p>Also at the GFC Academic Standards Committee meeting, it was suggested that the last sentence of the course descriptions be revised to increase clarity including who is eligible to take the course and what Faculty is offering it. INT D 407 reflects this change and is currently in circulation in accordance with GFC Policy 37. The remaining three courses will follow GFC policy on course changes to reflect similar wording.</p>
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Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Dare to Discover, Dare to Deliver. This program supports the vision of the University of Alberta in Dare to Deliver to build a university for the public good.</p> <p>The Certificate in Interdisciplinary Leadership Studies will also help to realize the vision of the new Institutional Strategic Plan. It will help to build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world. These students will be able to experience diverse and rewarding learning opportunities, excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service. The Certificate will help students engage with communities across campuses, the province, Canada and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA): The PSLA gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs. Further, the PSLA gives the Board of Governors authority over certain admission requirements and rules respecting enrolment. The Board has delegated its authority over admissions requirements and rules respecting enrolment to GFC and the GFC ASC. (Sections 26(1), 60(1)(c) and (d)).</p> <p>2. GFC Academic Standards Committee (ASC) Terms of Reference (3. Mandate of the Committee): “G. Certificates (All Faculties): Approval Route GFC delegated to ASC the authority to approve proposals for the establishment of and termination of credit and non-credit certificates, regardless of the proposing academic unit. Where additional funding and/or space is required to support the offering of the proposed certificate and/or if, in the opinion of the Provost and Vice-President (Academic) (or delegate), the certificate requires Government approval, ASC would provide a recommendation on the (proposed) initiative to the GFC Academic Planning Committee (APC). (GFC 31 MAY 2005) (EXEC 12 JAN 2009)”</p> <p>3. PSLA: The PSLA gives Faculty Councils power to “provide for the admission of students to the faculty” (29(1)(c)).</p> <p>4. UAPPOL Admissions Policy: “Admission to the University of Alberta is based on documented academic criteria established by individual Faculties and approved by GFC. This criteria may be defined in areas</p>

such as subject requirements, minimum entrance averages, and language proficiency requirements. In addition to academic requirements for admission, GFC authorizes each Faculty to establish such other reasonable criteria for admission of applicants as the Faculty may consider appropriate to its programs of study, subject to the approval of GFC (e.g. interview, audition, portfolio, etc.)

The admission requirements for any Faculty will be those approved by GFC as set forth in the current edition of the University Calendar. In addition to the admission requirements, selection criteria for quota programs, where they exist, will also be published in the current edition of the University Calendar. The responsibility for admission decisions will be vested in the Faculty Admission Committees or in the Deans of the respective Faculties, as the councils of such Faculties will determine.”

5. UAPPOL Admissions Procedure:

“PROCEDURE

1. EFFECTIVE DATE OF CHANGES TO ADMISSION REGULATIONS

Following approval by GFC:

a. Where changes to admission regulations may disadvantage students in the current admission cycle, normally implementation will be effective after the change has been published in the University Calendar for one full year (i.e., effective the second year that the information is published in the University Calendar).

For example, a change approved in May 2005 would be first published in the 2006-2007 University Calendar in March 2006. Therefore the statement cannot come into effect until September 2007 (affecting applicants who apply for the September 2007 term beginning July 2006).

b. Where changes to admission regulations are deemed by the approving body to be ‘advantageous to students’, normally the date of implementation will be effective immediately or at the next available intake for the admitting Faculty.”

6. PSLA: The PSLA gives Faculty Councils the authority to “determine the conditions under which a student must withdraw from or may continue the student’s program of studies in a faculty” (Section 29(1)(d)).

7. UAPPOL Academic Standing Policy: “All current academic standing regulations, including academic standing categories, University graduating standards and requirements for all individual programs will be those prescribed by Faculty Councils and GFC as set forth in the University Calendar.”

8. UAPPOL Academic Standing Regulations Procedures: “All proposed new academic standing regulations and changes to existing academic standing regulations will be submitted by the Faculties or the Administration to the Provost and Vice-President (Academic). Faculties will also submit to the Provost and Vice-President (Academic) any proposed changes to the use and/or computation of averages relating to

academic standing, including promotion and graduation.

If the Provost and Vice-President (Academic) determines the proposal to be in good order, the proposal will be introduced to the appropriate University governance process(es). In considering these proposals, governance bodies will consult as necessary with the Faculties and with other individuals and offices.

Normally, changes become effective once they are approved by GFC or its delegate and are published in the University Calendar.”

9. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)

“5. Agendas of General Faculties Council

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

[...]

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

10. General Terms of Reference – Standing and Other Committees of General Faculties Council (GFC)

“9. Delegations and Referrals

Each standing committee has the power to refer or delegate specific matters under its authority to another GFC Standing Committee, to a Sub-Committee, or to an academic or administrative unit unless GFC expressly restricts referral or delegation or the other GFC Standing Committee, Sub-Committee or unit refuses to accept the referral or delegation.”

11. General Faculties Council Terms of Reference (3. Mandate of the Committee)

“All powers and responsibilities under Section 26 of the *PSLA* not expressly delegated now or in the future shall be retained by General Faculties Council.

The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following:

- high level strategic and stewardship policy issues or matters of significant risk to the University; [...]
- those items which a Standing Committee considers to be of major strategic significance to or long-term impact on the University”

Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Kim Campbell, Principal, and Martin Ferguson-Pell, Vice Principal, Peter Lougheed Leadership College The Academic Oversight Committee of PLLC – Nat Kav, Vice-Provost, Programs (Chair), Jim Bohun, ALES, Rebecca Nagel, Associate Dean, Arts, Glen Loppnow, Associate Dean, Science Joseph Doucet, Dean, Faculty of Business Undergraduate Studies Policy Committee (USPC), Faculty of Business. Proposal reviewed and approved February 23, 2016 Business Faculty Council. Proposal reviewed and approved March 21, 2016</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Undergraduate Studies Policy Committee, Faculty of Business – February 23, 2016. Motion presented to accept, passed unanimously. Business Faculty Council, Faculty of Business – March 21, 2016. Motion presented to accept, passed unanimously. GFC ASC Subcommittee on Standards – April 7, 2016 GFC Academic Standards Committee – April 21, 2016 GFC Executive Committee – May 16, 2016 General Faculties Council – May 30, 2016</p>
<p>Final Approver</p>	<p>General Faculties Council – May 30, 2016</p>

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (pages 1–26) Embedded Credit Certificate Template including Calendar Copy

Prepared by: Elaine Geddes, Associate Dean, Undergraduate Programs, Faculty of Business, egeddes@ualberta.ca

**Program Approval Template
Embedded Credit Certificates**

This template is to be used for proposals calling for the establishment of new University of Alberta embedded credit certificates. Embedded credit certificates are taken concurrently with a degree program of the University of Alberta.

Governance: Embedded credit certificates are approved by the following route: Faculty Council, GFC Academic Standards Committee (ASC) Sub-committee on Standards (SOS), GFC ASC. In the event that the certificate proposal includes significant resource implications, the certificate will also be sent to GFC APC for approval.

Section A: Basics	
Program Name	Certificate in Interdisciplinary Leadership Studies
Sponsoring Faculty/ Academic Unit	Alberta School of Business (Faculty of Business)
Contact information	Name and Title - Martin Ferguson-Pell, Vice-Principal, Peter Lougheed Leadership College (PLLC) - Elaine Geddes, Associate Dean, Undergraduate Program, Alberta School of Business
	Phone - 780.492.3212 - 780-492-5773
	Email - martin.ferguson-pell@ualberta.ca - elaine.geddes@ualberta.ca
Institution(s) If multiple institutions are involved, specify the nature of the collaboration. Identify which institution(s) will award the credential.	University of Alberta
Units of Course Weight	*12 The Certificate in Interdisciplinary Leadership Studies will be made up of four courses for a total course weight of *12. One of the courses consists primarily of a capstone project. In addition, there is a significant experiential component. Students are required to engage in a non-credit stretch experience in the summer between the first and second year of the program. None of the courses that make up the Certificate in Leadership Studies are required courses for a student's degree. All courses required by this certificate are Senior Electives at the 300 and 400 level.
Program Synopsis Describe the program. Include curriculum content, target student group, target employment, further education options, etc.	In addition to the required coursework, the Peter Lougheed Leadership College (PLLC) will create opportunities for learning that will develop leadership skills and competences through enhanced formal and co-curricular programs, experiential learning, engagement with a wide range of leadership styles, commitment to ethical behaviour and social responsibility, and with access to excellence in mentorship. The Certificate in Interdisciplinary Leadership Studies will provide students with formal recognition of the interdisciplinary courses taken and the leadership skills acquired through their participation at the PLLC. The certificate will indicate to employers and graduate schools that the students have taken courses, have

	<p>participated in co-curricular programs, and have had stretch experiences through which they have developed the ability to tackle the challenges of leadership in all aspects of their lives. It will be available to undergraduate students in multiple Faculties.</p> <p>While completing their undergraduate degree program in their respective faculties, students will complete 12 units of course weight. The courses include INT D 301 Foundations of Leadership, INT D 306 Topics in Leadership, INT D 406, Leadership Capstone Project, INT D 407 Workshop in Leadership. In addition, a non-credit Stretch Experience in the summer between Years One and Two of the certificate will be offered by PLLC. (See Appendix A for more information).</p> <p>Coursework is delivered with the assistance of Teaching Fellows, most of whom are graduate students or their equivalent, and all of whom are trained to deliver course content and perform assessment of students. The Teaching Fellows are given extensive training in both the content of the course and in instruction, particularly pedagogical approaches to small group learning. Students work in small interdisciplinary cohorts. Some portions of the lectures are open to the public.</p> <p>All students have an opportunity to be mentored by outstanding members of the community who have volunteered their time to be trained in mentorship, and to serve as mentors to students. See Appendix E for the Mentorship Team.</p> <p>A Pioneer class was enrolled in 2015-16 to run a pilot of the first year of the Certificate. If the Certificate is approved, students from this group who wish to and are eligible to continue would be permitted to enrol in the second year of the Certificate program.</p>
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Section B: Rationale, Implications and Impact	
<p>Rationale for Introduction of Certificate Outline the rationale for the proposed embedded credit certificate and provide supporting data if applicable – eg. Results of student or economic demand analyses; consultation with wider community, etc.</p>	<p>In April 2010 the University of Alberta’s Dean of Students, F. E. Robinson, and the Registrar, G. Kendal, released a proposal, <i>Leadership and the Student Experience</i>. The proposal identified the range and scope of student leadership opportunities and initiatives at the University.</p> <p>At the end of the proposal the authors recommended the establishment of a Leadership College at the University of Alberta. With Henry Marshall Tory’s vision in mind, the College’s purpose would be “to honour the brand promise ‘to uplift the whole people’ through leadership, through operation of a residential college.”</p> <p>Their vision for the Leadership College included the following specific components</p> <ul style="list-style-type: none"> ● Leadership programming provided ● <u>Opportunities for formal and informal leadership/learning possibly leading to a Certificate in Leadership</u> (emphasis added) ● Guided by a senior academic “principal in residence” ● Residence will house 150 students on North Campus ● Guest accommodation for honorary degree recipients, distinguished alumni, visiting speakers etc.

	<p>The Peter Lougheed Leadership College will create a wide array of opportunities for undergraduates and emerging leaders to gain the skills, experience and understanding so that they may demonstrate excellence in leadership in all their walks of life and use them to the greater benefit of society.</p> <p>There are many programs already in place on campus that address topics included and are therefore a valuable resource to the PLLC and may be in fact augmented by PLLC; however, PLLC does not intend to disrupt any of the excellent work already in place.</p>
<p>Vision and Academic Plan How does the proposed program connect to the University’s vision <i>Dare to Discover</i>? How does the program further the University’s Academic Plan?</p>	<p>One of the four cornerstones of <i>Dare to Discover</i> is “Learning Discovery and Citizenship.” An objective for this cornerstone is to “inspire students, faculty, and staff alike to engage in activities that develop leadership, foster social and moral responsibility, and contribute to the further development of our society and its institutions.”</p> <p>The PLLC will create a resonance across campus that mobilizes resources, expertise and knowledge to involve the broadest range of students, as widely as possible, in preparation for their roles as engaged and critically thinking leaders of their generation.</p> <p>The Certificate in Interdisciplinary Leadership Studies will also help to realize the vision of the new Institutional Strategic Plan. It will help to build a diverse, inclusive community of exceptional students, faculty and staff from Alberta, Canada and the world. These students will be able to experience diverse and rewarding learning opportunities, excel as individuals, and together, sustain a culture that fosters and champions distinction and distinctiveness in teaching, learning, research, and service. The Certificate will help students engage with communities across campuses, the province, Canada and the world to create reciprocal, mutually beneficial learning experiences, research projects, partnerships, and collaborations.</p>
<p>Resource Implications Identify the resource implications of the proposed embedded credit certificate. Identify if resources are being re-allocated to or from other areas, and outline the implications of this re-allocation.</p>	<p>While resources are required to develop and deliver course and program outcomes, the cost for these is being absorbed by the Peter Lougheed Leadership College. The College is already created and has been funded by a restricted grant from the Government of Alberta and private donors. The Certificate in Interdisciplinary Leadership Studies is one of the central programs promised by PLLC to both the Government of Alberta and private donors. Funding to support the Certificate and related activities is in place, and no funding will be diverted from other University of Alberta sources. No reallocation of resources will take place within the University of Alberta.</p> <p>As this is an embedded certificate, students will not be required to take any additional courses beyond those required or permitted in their primary programs. There would normally be no additional tuition fees. Students would not normally extend their degree programs in order to complete the certificate, thus there would also not normally be any additional expenses incurred by students.</p>
<p>Enrolment Outline the expected enrolment for the embedded credit certificate and</p>	<p>After full roll-out, 125 students per year are expected to be accepted into the Certificate in Interdisciplinary Leadership Studies making the total head count in the certificate 250 students per year. Students will be given the opportunity to live</p>

<p>any potential impacts on course offerings.</p>	<p>in residence as a “Leadership College” cohort. Participation as a resident will be voluntary and will not be a requirement for being accepted to PLLC.</p>
<p>Implications of Introduction of the Credit Certificate Identify the implications of the proposed embedded credit certificate for the system. For example, will it affect other programs at the U of A, programs at other institutions, etc.?</p>	<p>It is not anticipated that the introduction of the Certificate in Interdisciplinary Leadership Studies will affect the enrolment of other programs. The certificate will be embedded within other degree programs so that students will continue in their existing programs after admission to the Certificate. Most programs have sufficient elective space within their programs to accommodate the Certificate. It will be up to each individual Faculty to decide the extent to which they will accommodate students if necessary within existing program requirements. Normally, students would not be permitted to take a leave of absence from their primary program to pursue the certificate.</p> <p>The four Faculties in charge of the four courses that make up the Certificate (ALES, Arts, Business and Science) form a committee, along with the Vice Provost Programs, called the Academic Oversight Committee that provides advice to the Faculty of Business and the PLLC on the content and administration of the Certificate. The Academic Oversight Committee also provides advice to the Faculty of Business on the administration of the Certificate and on liaison with other Faculties. (See Appendix G for the Terms of Reference for the Academic Oversight Committee.)</p> <p>The Academic Oversight Committee will be responsible for developing review mechanisms to ensure continuous quality improvement. Outcomes assessment, measurement and feedback loops will be established to assist in program improvements. The Faculty of Business has recently gone through a program evaluation including the development of a thorough Assurance of Learning process so is experienced in leading this type of quality control. The Peter Lougheed Leadership College has been conducting thorough and extensive interviews and Town Halls with students and with Teaching Fellows of the Pioneer class to get feedback on the pilot program run in 2015-16. This information will be used to further refine courses and course delivery for 2016-17.</p> <p>The Faculty of Business will have the responsibility of liaison with other Faculties to ensure compliance with University and Faculty policies and procedures. Resources have been allocated to the Faculty of Business from the Peter Lougheed Leadership College to ensure that adequate student support services are available for Certificate students without affecting the level of support currently provided to Business students. The Faculty of Business will also have the responsibility to ensure that Stretch Experiences are adequately evaluated, supervised and controlled to ensure student benefit, The Faculty of Business has extensive experience in monitoring Co-operative Education placements, academic exchanges, student conferences, competitions and events, and will be able to exercise oversight in this area. Students will be subject to all of the usual controls over student activity with a connection to the University of Alberta, including the Code of Student Behaviour, and the Practicum Placement Policy.</p> <p>It is expected that if other faculty-specific leadership certificates are established in the future, some students will enrol in both. Since students are able to enrol in up to two credit certificates some will take advantage of this opportunity. Students may</p>

	<p>also take non-leadership certificates offered by other faculties where they have sufficient room in their programs.</p> <p>No effect on programs at any other institution is anticipated. The Certificate in Interdisciplinary Leadership Studies may have a positive effect on recruitment overall at the University of Alberta as it becomes more well-known.</p>
<p>Consultation Describe any consultation and/or potential impacts on service units of the University, including the Office of the Registrar and Student Awards, Academic Information and Communication Technologies (AICT), Library Administration, Facilities and Operations, Student Services, etc.</p>	<p>In 2014-15, prior to the recruitment of the Inaugural Class, the Right Honourable Kim Campbell, Founding Principal of the PLLC along with Martin Ferguson-Pell, who was at the time Senior Advisor to the President, had extensive consultations with the diverse members of the campus community regarding the Certificate in Interdisciplinary Leadership Studies, including with:</p> <ul style="list-style-type: none"> ● Members of the PLLC Coordinating Committee and the PLLC Academic Advisory Committee ● Former Provost, Carl Amrhein ● Office of the Provost: Olive Yonge, Deputy Provost; Roger Epp, Vice-Provost (Academic); Brenda Leskiw, Associate Vice-Provost (Academic Programs and Instruction) ● Deans of all Faculties ● General Faculties Council ● The Student Union ● The Graduate Students Association ● Representatives of Indigenous people ● Government Consultation (Municipal, Provincial, Federal) <p>PLLC has presented before all committee of the University of Alberta on multiple occasions, and in particular before General Faculties Council. As a result of concerns expressed in some of those meetings, an Academic Oversight Committee was established in 2015 to provide for advice, counsel and assistance to the PLLC on academic and administrative matters. See Appendix B for the makeup of that committee.</p> <p>The two courses INT D 301 and INT D 306 have already been approved by the University of Alberta through its normal circulation process. The two courses INT D 406 and INT D 407 are going through the circulation process as of this date.</p> <p>For a complete list of 2014-16 consultations see Appendices C and F.</p>

Appendices

<p>Appendix A – curriculum and program structure List course names, numbers, and descriptions. Indicate if the courses are new or existing. Include draft content for the University Calendar.</p>	<p>INT D 301 - Foundations of Leadership * 3 (fi 6) (two term, variable) An introduction to the scholarly literature on the theory and practice of leadership. The course content will draw from a broad range of disciplines, primarily in the humanities and social sciences. The course material will be delivered on-line. Requires participation in both on-line discussion groups and on-campus seminars. Only open to students in the Peter Lougheed Leadership College. [Peter Lougheed Leadership College]</p>
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	<p>INT D 306 - Topics in Leadership * 3 (fi 6) (two term, variable) This course will address contemporary leadership challenges and successes. Local, national and international leaders with a wide range of expertise in academia, business, government, and volunteer, cultural and non-profit communities will speak and interact with students, providing a range of perspectives and experiences on leadership. Only open 3rd year students in the Peter Lougheed Leadership College. [Peter Lougheed Leadership College]</p> <p>INT D 406 Leadership Capstone Project (new course) *3 (fi 6) two term, variable) Investigation of the nature and use of evidence and models of scientific inquiry as they apply to theory and research in leadership. Students will work in groups with mentors to conduct an interdisciplinary capstone leadership project that addresses a significant global challenge. Only open to and required of final year students in the Peter Lougheed Leadership College. [Peter Lougheed Leadership College]</p> <p>INT D 407 Workshop in Leadership (new course) *3 (fi 6) two term, variable) Students will read articles, cases, and textbook chapters, and view selected videos before class, then in class will engage with the instructor, guests, and each other to develop an understanding of the skills that leaders need and to practice those skills. Skills will be developed in understanding and influencing others, strategy, leading creative teams, and leader communications including crises, symbolic and ceremonial speech, and the media. Only open to year two students in the Certificate in Interdisciplinary Leadership Studies offered by the School of Business in collaboration with the Peter Lougheed Leadership College. [Faculty of Business]</p>
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Calendar Copy

64.7.2 Certificate in Interdisciplinary Leadership Studies

64.7.2 Certificate in Interdisciplinary Leadership Studies

I. The Certificate in Interdisciplinary Leadership Studies will provide undergraduate students with opportunities for learning that will forge leadership skills and competences through enhanced formal and co-curricular programs, experiential learning, engagement with a wide range of leadership styles, commitment to ethical behavior and social responsibility, and with access to excellence in mentorship. This program aims at producing a transformative experience for undergraduate students that provides them with access to and mentorship by individuals with proven leadership qualities in the local, national and international communities. It will be available to all undergraduate students in multiple Faculties. Students will normally be senior undergraduate students in their third and fourth years of their undergraduate program.

II. Eligibility Requirements

Undergraduate students may apply to pursue the Certificate in Interdisciplinary Leadership Studies by meeting the following requirements:

- (1) Submitting the application form and all supporting documents by the application deadline.
- (2) Applications must be accompanied by
 - a) a resume
 - b) a letter of intent

- c) a copy of the students' up-to-date transcript
 - d) at least one letter of reference. Letters of reference should focus on the applicant's character, ability to engage with and commit to the values of the Peter Lougheed Leadership College.
- (3) Students must normally have completed a minimum of *45 and a maximum of *84 towards their degree including courses in progress during the Winter term in which they apply;
- (4) After-Degree students will be considered on a case-by-case basis depending on the room they have in their programs to accommodate the Certificate;
- (5) Students must be in satisfactory academic standing in their degree program at the time of application;
- (6) Students must be current University of Alberta undergraduate students, or transfer students who have been accepted to an undergraduate degree program at the University of Alberta.
- (7) Students who do not meet one or more of the above eligibility requirements, but are interested in applying, are encouraged to contact the Peter Lougheed Leadership College to discuss a potential application.

III. Acceptance

The Peter Lougheed Leadership College Admissions Committee is created by the Peter Lougheed Leadership College with the advice and consent of the Faculty of Business. Limited space exists in the Certificate in Interdisciplinary Leadership Studies. Priority will be given to applicants who meet the above eligibility requirements. At the discretion of the Peter Lougheed Leadership College Admissions Committee, other applicants will be considered.

- (1) Applications of all eligible students will be evaluated and students will be shortlisted for interviews based on the criteria in II. above.
- (2) Recommendations for acceptance will be made by Peter Lougheed Leadership College Admissions Committee on the basis of
- a) the capacity of the student to succeed academically,
 - b) the capacity of the student to work in an interdisciplinary and team focused setting, and
 - c) the student's commitment to the values of the Peter Lougheed Leadership College as demonstrated in their letter of intent.
- (3) The Peter Lougheed Leadership College Admissions Committee will also be concerned to ensure a broad diversity of students in the Certificate to reflect the diversity of the University community overall, including diverse disciplines and fields of study.
- (4) The Peter Lougheed Leadership College Admissions Committee will recommend to the Faculty of Business the names of students to be admitted to the Certificate.

IV. Coursework

- (1) Students are required to complete all of the requirements for their degree program. In addition to those requirements, students will successfully complete the following courses:
- (a) Year One of the Certificate Program:
 - (i) INT D 301 Foundations of Leadership
 - (ii) INT D 306 Topics in Leadership
 - (b) Year Two of the Certificate Program:
 - (i) INT D 406 Leadership Capstone Project
 - (ii) INT D 407 Workshop in Leadership
- (2) Normally, these courses will be completed within the two years following acceptance to the certificate.
- (3) Students will also complete a stretch experience which takes place between Year One and Year Two of the program during Spring/Summer. This consists of a minimum of 200 hours of leadership-related activities. Stretch experiences will be approved by the Faculty of Business following a recommendation by the Peter Lougheed Leadership College.
- (4) Once accepted to the Certificate, students will be guaranteed the ability to complete the certificate requirements within their original program provided they remain in good standing.

V. Continuation, Academic Standing and Completion

- (1) A Certificate student must normally successfully complete the two required courses in the first year of the program

and the summer stretch experience to be permitted to continue in the second year.

(2) A Certificate student may request a leave of absence for up to one year from the Certificate for personal reasons, including medical reasons or the pursuit of other legitimate and useful opportunities. All such requests must be approved by the Peter Lougheed Leadership College Admissions Committee.

(3) Students must maintain satisfactory academic standing in their home faculty, and successfully fulfill all the academic requirements of their primary program including conditions or limitations placed upon them because of participation in the Certificate.

(4) Normally, a failure to maintain satisfactory academic standing, or a failure to fulfill the conditions or limitations of their home faculty, or a failure to successfully complete any of the required courses in the Certificate will mean the student will be required to withdraw from the Certificate. Such decisions will be made by the Faculty of Business in consultation with the Peter Lougheed Leadership College, the Academic Oversight Committee and the home faculty of the student.

(5) (a) Students who have failed any of the required courses may appeal that failure in accordance with the appeal regulations of the faculty hosting the course. Decisions made by faculties in grade appeals are final.

(b) Students who have failed to maintain satisfactory academic standing in their primary program may appeal according to the appeal regulations of their home faculty.

(c) Students who have failed to successfully complete the stretch experience or who are being required to withdraw from the Certificate for reasons other than (b) above, may appeal that decision to the Business Faculty Appeals Committee in accordance with its appeal regulations.

(d) A student may have a further right of appeal to the GFC Academic Appeals Committee in the event of an appeal involving continuation in the Certificate. The GFC Academic Appeals Committee may only entertain and uphold an appeal if a miscarriage of justice has occurred.

(6) Students will receive the Certificate in Interdisciplinary Leadership Studies upon completion of all program requirements for their primary degree program and the successful completion of all courses in the certificate program. This is an embedded certificate; the certificate will only be awarded when the degree is awarded.

Appendix B – Governance and Oversight Committees within the University of Alberta

PLLC Academic Oversight Committee Membership (2015-present)

Nat Kav, Vice-Provost, Programs (Chair)
Martin Ferguson-Pell, PLLC
Scott Jeffrey, Associate Dean, ALES
Rebecca Nagel, Associate Dean, Arts
Elaine Geddes, Associate Dean, Business
Glen Loppnow, Associate Dean, Science

PLLC Coordinating Committee (2013-2015)

- Anne Bailey, Director, Internal Communications;
- Cherene Griffiths, Director, Government & Stakeholder Relations;
- Don Hickey, Vice-President, Facilities and Operations;
- Alexis Ksiazkiewicz, Associate Vice-President, Government & Stakeholder Relations;
- Anastasia Lim, Executive Director, University Relations
- Kiann McNeill, Director, Marketing and Communications;
- Robert Moyles, Senior Director, Strategic Communications, Advancement;
- Debra Pozega Osburn, Vice-President, University Relations;
- O'Neil Outar, Vice-President, Advancement;
- Colm Renehan, Interim Vice-President, Advancement;
- Catherine Swindlehurst, Director, Office of the President

**Appendix C- Consultations
within the University of
Alberta 2014-16**

(All titles are as they were at the time of consultation)

- **Presidents:** Indira Samarasekera, David Turpin
- **Deans:** Allen Berger, Augustana Faculty;
Stanford Blade, Faculty of Agricultural, Life and Environmental Sciences;
Bill Connor, Faculty of Extension;
Joseph Doucet, School of Business;
Lesley Cormack, Faculty of Arts;
Bob Haennel, Faculty of Rehabilitation Medicine;
Brendan Hokowhitu, Faculty of Native Studies;
David Lynch, Faculty of Engineering;
Douglas Miller, Faculty of Medicine and Dentistry;
Pierre-Yves Mocquais, Campus Saint-Jean;
Anita Molzahn, Faculty of Nursing;
Kerry Mummery, Faculty of Physical Education and Recreation;
Paul Patton, Faculty of Law;
Jonathan Schaeffer, Faculty of Science;
Mazi Shirvani, Faculty of Graduate Studies and Research;
Fern Snart, Faculty of Education
- **Faculty and Senior Staff:** Vic Adamowicz, Vice-Dean, Faculty of Agricultural, Life and Environmental Sciences,;
- Margaret-Ann Armour, Professor, Faculty of Science;
- Lorne Babiuk, Vice-President (Research);
- Lorna Baker-Perri, Associate Director, Accommodations Planning;
- Thomas Barker, Professor, Comm & Tech, Faculty of Extension;
- Britta Baron, Vice-Provost and Associate Vice-President (International), University of Alberta International (UAI);
- Deryk Beal, Executive Director, Institute for Stuttering Treatment and Research;
- Miodrag (Mike) Belosevic, Professor, Biological Sciences;
- Ashlyn Bernier, Manager, Venture Mentoring Service;
- Jeff Bisanz, Chair Psychology Department;
- Rhonda Breitreuz, Professor, Human Ecology, Faculty of Agricultural, Life and Environmental Sciences;
- Peter Brindley, Critical Care Division, Faculty of Medicine and Dentistry;
- Carolyn Campbell, Executive Education, School of Business;
- Tim Caulfield, Professor, Faculty of Law;
- Jennifer Chesney, Associate Vice-President, University Digital Strategy;
- Chris Cheeseman, Professor, Physiology;
- Phyllis Clark, Vice-President, Finance and Administration;
- Lisa Collins, Vice-Provost and University Registrar, Office of the Registrar;
- Greta Cummings, Professor, Faculty of Nursing;
- Surma Das, Univ Gov & Advocacy Advisor, Students' Union, and Instructor, Faculty of Arts;
- Doug Dawson, Associate Vice-President, Ancillary Services;
- Catherine Dyer, Instructional Designer, Faculty of Extension;
- Shaniff Esmail, Assoc Chair of Rehab Medicine;
- Catherine Fan, President, Debate Society;
- Janet Fast, Professor, Department of Human Ecology;

April 21, 2016

- Richard Field, Professor, Alberta School of Business;
- Elaine Geddes, Associate Dean, Undergraduate Program, School of Business;
- David Goa, Director – Ronning Ctr, Augustana Campus;
- Margo Goodhand, Former Editor, Edmonton Journal;
- Doug Goss, Chair, Board of Governors;
- Lois Harder, Chair, Political Science Department, Faculty of Arts;
- Denise Hemmings, Women in Scholarship, Engineering, Science and Technology;
- Don Hickey, Vice-President (Facilities and Operations);
- Shalene Jobin, Director Aboriginal Governance Program, Faculty of Native Studies;
- David Kahane, Professor, Political Science, Faculty of Arts;
- Nat Kav, Associate Dean, Faculty of Agricultural, Life and Environmental Sciences;
- Nathalie Kermaal, Associate Professor, Faculty of Native Studies;
- Larry Kostiuk, Professor, Faculty of Engineering;
- Sheree Kwong See, Director, Centre for Teaching and Learning;
- Sharla King, Director, Health Sciences Education and Research Commons;
- Stuart Landon, Associate Dean, Faculty of Arts;
- James Lightbody, Interim Dean & Professor, Political Science;
- Jacqueline Leighton, Chair, Educational Psychology;
- Jane Lee, Director of Student Life;
- Scott Lingley, Communications Associate, Media Relations;
- Lily Liu, Chair, Occupational Therapy, Faculty of Rehabilitation Medicine;
- Glen Lopnow, Professor, Centre for Molecular Structure and Dynamics, Faculty of Science;
- David Maples, Chair, Department of History & Classics;
- Jerrold McGrath, Program Director, Creative Ecology Leadership, Banff Centre;
- Geoff McMaster, Producer, Writer, Editor, Marketing and Communications;
- David Mitchell, President & CEO, Public Policy Forum;
- Janelle Morin, Director, Engage North;
- Chris Morris, Coach, Bears Football;
- Karsten Mundel, Director & Associate Dean (Academic), Augustana Campus;
- Anne Naeth, Professor, Faculty of Agricultural, Life and Environmental Sciences;
- Kim Noels, Professor, Psychology;
- Patricia Paradis, Executive Director, Centre for Constitutional Studies;
- Carla Peck, Assoc Professor, Social Studies Education & Editor, Theory & Research in Social Education, Faculty of Education;
- Renee Polziehn, Director, Faculty of Graduate Studies and Research;
- Debra Pozega Osburn, Vice-President (University Relations);
- Sean Price, Associate Vice-President, Alumni Affairs;
- Joanne Profetto-McGrath, Acting Dean & Professor, Faculty of Nursing;
- Ian Reade, Athletics Director, Golden Bears and Pandalas Athletics;
- Colm Renehan, Vice-President (Advancement);
- Hugh Segal, Master, Massey College;

- Christie Schultz, Assistant Dean, Academic, Faculty of Extension;
- Jan Selman, Interim Director, Community Service Learning;
- Arya Sharma, Professor of Medicine, Chair in Obesity Research & Management;
- Joan Schiebelbein, Director, Career Services;
- Marcia Spetch, Professor, Psychology;
- Sheila Steger, Senior Director, Individual Giving, Advancement;
- Joseph Strodel, Director of Corporate and Foundations Relations, Advancement;
- Alison Turner, Media Relations, University Relations;
- Connie Varnhagen, Director, University Research Initiative;
- Marvin Washington, Associate Professor, School of Business;
- Janet Welch, Assistant Dean, Education Technology Service, Faculty of Education
- Phyllis Woolley, Program Coord - Gov Interchange Program and Active Engagement at the Alberta School of Business
- Heather Zwicker, Professor, Faculty of Arts;

2014-16 Student Consultation

Students' Union members:

- Hans Asfeldt
- Dustin Chelen
- William Lau
- Petros Kusmu
- Kathryn Orydzuk
- Fahim Rahman
- Navneet Khinda

Graduate Students' Association:

- Nathan Andrews
- Brent Epperson
- Susan Cake

Students at large:

- Catherin Fan and Gabrielle Belzil (Debate Society Presidents)
- Nisha Patel (Student School of Business Leadership Certificate)
- Michael Swampy

2 consultation with Students' Union Council, 1 consultation with Graduate Students' Association Council

Focus Groups: 7 focus groups of students, facilitated by SU December 2014, total 65 participants.

PLLC Inaugural Class Consultation

December 2015: 2 Town Halls facilitated by SU staff, one each at North Campus and Augustana Campus, 1 hour in camera; reports available.

December 2015: Teaching Fellow consultation

March 2016: Student forum representatives consultation

Since January 2016: Bi-weekly academic steering group meeting of lead instructors.

Appendix D – Library Impact Statement	Library Impact Statement prepared by Tim Klassen, Head/SciTech & Business Libraries Patti Sherbaniuk of the Winspear Business Library: Librarian assigned to PLLC
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NEW ACADEMIC PROGRAM LIBRARY IMPACT STATEMENT CERTIFICATION

Proposal for Calendar Changes to implement
Peter Lougheed Leadership College Certificate of Leadership
Proposed implementation date: September 2016

The Library has examined the calendar changes required to implement the Peter Lougheed Leadership College Certificate of Leadership as submitted by the Undergraduate Programs Office in the Faculty of Business which is the administrative home for the certificate. We anticipate that the new certificate will not incur any additional costs for Library acquisitions or services.

The Peter Lougheed Leadership College Certificate of Leadership will create a wide array of opportunities for undergraduates in all faculties and emerging leaders to gain skills, experience and understanding so that they may demonstrate excellence in leadership in all walks of life and use this to the greater benefit of society. The certificate provides students with formal recognition of the leadership skills they have acquired through their studies at the Peter Lougheed Leadership College. Courses are offered by a variety of different Faculties and the certificate itself is available to students in multiple Faculties

The certificate will be based on completion of a series of four required courses taught by permanent, full-time faculty, already in place who are members of the Faculties of ALES, Arts, Business and Science. Class size will be 144 students, 288 at full enrollment. The four courses will be offered through the following faculties:

- Faculty of ALES - Foundations in Leadership
- Faculty of Arts - Topics in Leadership
- Faculty of Business - Workshop in Leadership
- Faculty of Science - Capstone Course in Leadership

The University of Alberta Libraries (UAL) provide access to extensive collections of both online and print resources that support research and teaching in a wide range of subjects within the above-mentioned Faculties. The proposed Peter Lougheed Leadership College Certificate will be supported by numerous databases currently subscribed to by UAL including: Sociological Abstracts, SocIndex, SPORT Discus, Business Source Complete, ABI Inform, Academic Search Complete, PsychInfo, Social Science Citation Index, SAGE Journals online, ERIC, Business Source Elite, and CINAHL Plus.

The program can be supported through the existing library facilities and services that support the Faculty of ALES, Faculty of Arts, Faculty of Business and Faculty of Science. In-class library instruction and one-on-one student and faculty consultations will be provided by our designated Liaison Librarian to the Peter Lougheed Leadership College.

The proposed program should have no impact on Library staff/hours, or collection resources. We support the creation of the proposed program and look forward to working with its instructors and students in the years to come.

Executive summary of costs:

Total Costs	Start Up	On going (expected annual maintenance costs)
Collections budget	0	0
Capital budget	0	0
Operating/staffing budget	0	0
Incremental Cost for Licensed Resources	0	0
Total Costs: Summary	0	0

Signed:



Denise Koufogiannakis

Associate University Librarian, Collections



Tim Klassen

Head, Science and Technology Library and Winspear Business Library

Dated: April 4, 2016

**Appendix E –
Mentorship Team**

Mentorship Team:

Co-chairs:

- David Hancock, Counsel, Dentons, Former MLA and Premier, Alberta;
- Anne McLennan, Senior Advisor, Bennet Jones, Former Member of Parliament and Minister of Justice, and Deputy Prime Minister;

Members: Jodi Abbott, President, Norquest;

- Michael Aherne, Consulting Principal, Responsive Strategies Inc;
- Thomas Banks, Former Senator, Nationally and Internationally Renowned Musician;
- Mary Cameron, Member, Edmonton International Airports Board, Chair, Davisory Board, Surehire.
- Rob Campre, Aboriginal Health Council;
- Lewis Cardinal, Founding Board Member, Racism Free Edmonotn and Alberta Aboriginal Arts, Board Director, Alberta Council of Women’s Shelters;
- Sarah Chan, Teacher, Musician;
- Cheng-Hsin Chang, Program Director, Executive Education, U of A School of Business;
- Greg Christenson, President, Christenson Developments;
- Maxine Clark, Director, Career Education and Coaching;
- Rick Dumas, Captain, Adjutant, Loyal Edmonton Regiment (4 PPCLI);
- Marc de la Bruyere, Chairman at Maclab Enterprises and Viewtrak Technologies;
- Anne Fanning, U of A Professor Emeritus;
- Morris Flewwelling, Educator, Founder, Heritage Community Foundation;
- Kara Flynn, Vice President, Government and Public Affairs, Syncrude Canada Ltd;
- Susan Green, AL&GC, Habitat for Humanity;
- Bruce Hogle, Electronic/Print Journalism, Former Chair, Grant McEwan University’s journalism program;
- William Hogle, Lawyer;
- Fred Home, Former Minister of Health, Former MLA;
- Doug Horner, Former Provincial Treasure, Former MLA;
- Agnes Hoveland, City Councillor- Camrose;
- Shenaz Jeraj, Jaffer Inc, Silver Brown Consulting;
- Yasmin Jivraj, Acrodex,
- Chris LaBossiere, CEO and Investor, Yardstick Testing & Training Experts;
- Patti Laboucane-Benson, Native Counselling of Alberta;
- Hana Marinkovic, APEGGA, Former Chief of Staff;
- Steve MacDonald, Deputy Minister, Alberta;
- Spence Nichol, McKinsey, Former Chief of Staff;
- Verlyn Olson, Former Minister of Agriculture and Rural Development;
- Annemarie Petrov, Executive Director, Winspear Centre for Music;
- Giri Puligandla, Director, Planning and Research, Homeward Trust Edmonton;
- Paula Simons, Columnist, Edmonton Journal;
- Sam Singh, Market Researcher, Localize;
- Ken Spillett, Former School Principal, Edmonton Public Schools;
- Gail Stephanik-Keber, Vice President, Servus;
- Adam Sweet, Senior Advisor, to President for Edmonton Economic Development;
- Marguerite Tressler, Ethics Commissioner, Alberta;

Note: All mentors receive 1.5 days of formal mentorship training by Ian Chisholm, The Roy Group (specialists in mentorship training and facilitation).

**Appendix F- 2014-16
Consultations outside the
University of Alberta**

(All titles are as they were at the time of consultation)

- Iqbal and Shamim Amiri, AMRI Inc.
- Jim Balsillie, Former CEO, Research in Motion, Sustainable Development Tech Canada;
- Margaret Bateman, Calder Bateman, Edmonton
- Max Bazerman, Co-Chair, Center for Public Leadership, Harvard Kennedy School;
- Desmond Berghofer, Founder & Principal, Institute for Ethical Leadership;
- Charles Bouchard – CEO Lockheed Martin Canada
- Dan Buchner, Head of Peter Lougheed Leadership Institute, Banff Centre;
- Kris Bulcroft, President, Capilano University;
- Janice Charette, Clerk of the Privy Council and Secretary to the Cabinet, Canada;
- Ian Chisholm, Founding Partner, Roy Group;
- Adrienne Clarkson, Former Governor General, Canada;
- Ron Crelinsten, Associate Fellow, Centre for Global Studies, University of Victoria;
- Elizabeth Croft, Associate Dean, Faculty of Applied Science, University of British Columbia;
- Emerson Csorba, U of A Alum, Director, Gen Y Inc;
- Catherine Dauvergne, Dean, Allard School of Law, University of British Columbia;
- Sally Davies, Chief Medical Officer, England;
- Jim Edwards, Former Member of Parliament and Parliamentary Secretary;
- Marshall Ganz, Senior Lecturer in Public Policy, Ash Center for Democratic Governance and Innovation, Harvard Kennedy School;
- Allan Gotlieb, Former Ambassador to US, Chair, Donner Canadian Foundation;
- Shari Graydon, Founder, Informed Opinions;
- Jane Halford - BOLT Transition
- Tsun-yan Hsieh, Chairman, Linhart Group;
- Steve Hrudehy, U of A Professor Emeritus, President-Elect, APEGA [Alberta self-regulating professional agency];
- Raymond Ivany, President, Acadia University;
- Jessical Jackson, Edmonton Public Library;
- David Janzen, Operations Manager, ICChange;
- Jarl John, President [US] National Public Radio;
- Natasha Kedia, U of A Alum, (recommended by Marcia Lang);
- Barbara Kellerman, Lecturer in Public Leadership, Center for Public Leadership, Harvard Kennedy School;
- Joseph Lougheed, Partner Dentons (Son of Peter Lougheed);
- Stephen Lougheed, President & CEO, Alberta Innovated-Technologies Futures, (Son of Peter Lougheed);
- Karen Lynch, Director, External Relations, Post-Secondary Institutions, ATB Financial;
- Rob Roy MacKenzie, Brigadier-General, Deputy Commander, 3 Canadian Division;
- W. Kenneth McCarter, Chair, Massey College Quadrangle Society;
- Betsy McGregor, Founder and Facilitator, McGregor Leadership;
- Helen McLean, Executive Director, Donner Canadian Foundation;

April 21, 2016

- Peter Meekison, Adjunct professor, Dept of Political Science, Royal Roads University, (Distinguished University Professor Emeritus of Political Science, University of Alberta;
- Jeff Melanson, President Banff Centre;
- Gautam Mukunda, Assistant Professor, Organizational Behavior, Harvard Business School;
- Ray Muzyka, Founder & CEO, ThresholdImpact;
- Miriam Nelson, Chair, Faculty Executive Committee, Tisch College of Citizenship and Public Service, Tufts University.
- Nicholas Offord, Offord Group;
- Abbey Onn, Assistant Director, Leadership Development Programs, Center for Public Leadership, Harvard Kennedy School;
- Janice Price, President, Banff Centre;
- Faaiza Ramji, U of A Alum, Owner, Chopped Leaf;
- Robert Roy - Canadian National Leadership Program
- Abdullah Saleh, MD, Chief Executive Director/Co-Founder, ICChange;
- Geraldine Schwartz, Founder & Principal, Institute for Ethical Leadership;
- Haley Simons, President, Creative Alberta;
- Joy Scott, Alberta College of Family Physicians;
- Liz Smyth, Acting Director, Centre for Teaching Support & Innovation, University of Toronto;
- Marilyn Steers, Founder/Principal, Kaleidoscope Consulting;
- Mark Tewksbury, Canadian Olympian (swimming), Speaker, Founder, Facilitator, Great Straits;
- Stephen Toope, Director, Munk School of Global Affairs, University of Toronto;
- Nancy Thomas, Member, Faculty Executive Committee, Tisch College of Citizenship and Public Service, Tufts University.
- William Thorsell, UofA Alum, Journalist and Former Editor, Globe & Mail;
- Carla Tishler, Portfolio Director, Harvard Business School Program for Leadership Development;
- Shari Tishman, Lecturer, Harvard Graduate School of Education;
- Joel Ward, President and CEO, Red Deer College
- Tammy Ward, Senior Leader, Leadership Learning & Development, ATB Financial;
- Sheila Weatherill, Consultant, Weatherill and Associates;
- Christine Whitecross, Lieutenant-General, Commander of the Canadian Forces Strategic Response Team on Sexual Misconduct;
- Kelly Woiden, Brigadier-General, Chief of Staff, Army Reserve, Dept of National Defence, Canada;

2014-16 Government Consultation (Municipal, Provincial, Federal)

- Greg Bass, Deputy Minister, Alberta Education;
- Brian Bowman, Mayor, City of Winnipeg;
- Carolyn Campbell, Deputy Minister, Culture and Tourism;
- Janice Charette, Clerk of the Privy Council;
- Janet Davidson, Former Deputy Minister of Health, GOA.
- Barry Day, Deputy Minister, Leadership and Talent Development within Executive Council;
- Robert Driesen, Assistant Auditor General of Alberta;

- Bev Esslinger, Councillor, City of Edmonton;
- Kyle Fawcett, Minister, Jobs, Skills, Training and Labour;
- Laurie Hawn, Member of Parliament for Edmonton Centre;
- Ben Henderson, Councillor, City of Edmonton;
- Don Iveson, Mayor, City of Edmonton;
- Matt Jeneroux, MLA for Edmonton-South West;
- Stephen Khan, Minister, Service Alberta;
- Andrew Knack, Councillor, City of Edmonton;
- Steve MacDonald, Deputy Minister, Innovation and Advanced Education;
- Naheed Nenshi, Mayor, City of Calgary;
- Ron Parker, Deputy Minister Champion for UofA;
- Blake Pedersen, MLA for Medicine Hat;
- Sarah Pocklington, Alberta Future Leaders, Arts Development, Government of Alberta;
- Jim Prentice, Premier, Alberta;
- Dave Quest, MLA for Strathcona-Sherwood Park;
- Merwan Saher, Auditor General of Alberta;
- Brian Slotr, Director Meetings and Conventions, Travel Alberta
- Gayle Stannard, Alberta Order of Excellence
- Marguerite Trussler, Ethics Commissioner, Alberta;
- Michael Walters, Councillor, City of Edmonton;
- Peter Watson, Deputy Minister, Executive Council;
- Trish Webb, Chief Communications Officer, City of Edmonton;
- Steve Young, MLA for Edmonton-Riverview

Indigenous People Consultation:

- Tracy Bear
- Chief Wilton Littlechild
- Aaron Paquette
- Justice Murray Sinclair
- Muriel Stanley Venne



UNIVERSITY OF ALBERTA

PETER LOUGHEED LEADERSHIP COLLEGE

Academic Oversight Committee Terms of Reference

August 15, 2015

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April 21, 2016

I. Background

The University of Alberta's Peter Lougheed Leadership College (PLLC), is a broad, inclusive community of undergraduate students, graduate teaching fellows and instructors. The PLLC creates opportunities for leadership development through enhanced formal and co-curricular programs, experiential learning, and engagement with a wide range of leadership styles, commitment to ethical behavior and social responsibility, and with access to excellence in mentorship.

The work of the PLLC is guided by the following foundational statements:

Vision Statement

The Peter Lougheed Leadership College is a thriving and vibrant centre of excellence for leadership development where students are immersed in and benefit from leading-edge learning experiences.

Mission Statement

The Peter Lougheed Leadership College is dedicated to creating an exceptional interdisciplinary, multiple campus and collaborative learning environment in which students gain the attributes, skills and competencies essential for their life endeavors.

PLLC Values and Principles

As part of the University of Alberta, the PLLC relies on the shared values of the University of Alberta that are centred on the principle of "uplifting of the whole people" and form the bedrock for our behaviour and guides our actions and interactions. These values represent how the PLLC expects to travel toward fulfillment of its mission and vision.

PLLC values	Principles of Practice that reflect PLLC values
<i>Embodiment of leadership practices</i>	Based on the example set by Peter Lougheed, the work of the PLLC will model and set an example for the leadership practices of ethical responsibility, authenticity, critical/strategic thinking, effective communication, and acting with integrity.
<i>Diversity of learning experiences</i>	<ul style="list-style-type: none">• The student-centred learning approach at the PLLC will utilize a range of learning processes including cutting edge digital learning, experiential learning, opportunity to participate in an immersive residential experience, and mentorship.• Formal learning experiences will be evidence-based and closely linked to scholarship in leadership practices.
<i>Interdisciplinary collaboration and synergy</i>	From design to delivery, the PLLC will identify and utilize the wealth of experience, scholarship, and collective wisdom of the academy, its partners, and the broader community to optimize learning experiences for all.

<i>Accessible participation</i>	<p>The inclusive approach to leadership development at PLLC ensures that:</p> <ul style="list-style-type: none"> • The composition of the PLLC leadership cohorts are representative of the University of Alberta campus as a whole. • Leadership opportunities are coordinated and shared across the entire campus as the college serves the university as a catalyst for excellence in leadership practice and mentoring in any setting.
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II. The PLLC Leadership Certificate

A key component of the PLLC is an embedded academic certificate. As an administrative unit of a UofA presidential initiative, the PLLC operates in collaboration with the UofA academic system. Therefore, to meet the academic oversight and governance requirements for an embedded certificate, the academic certificate will be hosted by a designated faculty. As well, to support the inter-disciplinary nature of the PLLC, each of the academic credit courses will be offered by a different faculty.

This complex context presents unique challenges and opportunities for the PLLC, and the university, and will require a strong collaborative and coordinated relationship between the PLLC and the partnering Faculties. The PLLC recognizes that each of the Faculties offering a PLLC leadership course is ultimately responsible for the content, academic oversight, governance approval, and delivery of that course. The host Faculties see significant benefit from the active advisory engagement of the PLLC during course and certificate development, as well as in an ongoing capacity. An Academic Oversight Committee (AOC) will be utilized to achieve the optimum collaborative benefit.

III. The Leadership Role of the Peter Lougheed Leadership College Academic Oversight Advisory Committee

Utilizing a collaborative and collegial approach the AOC members will work with the PLLC administrative unit to support the development of development and delivery of a superior quality embedded certificate, and its components, and the PLLC as an important multi-campus initiative.

A key leadership role of the committee will be to utilize the combined governance experience of its members to create clarity and consensus regarding the roles, relationships and responsibilities pertaining to the development (including required approvals) and delivery of the courses and the overarching certificate. In undertaking this role, the Committee recognizes that the host Faculties have ultimate responsibility for governance processes relating to the individual courses and certificate.

The Academic Oversight Committee (AOC) will:

- Create and utilize a governance and academic oversight strategy to clarify roles, responsibilities, and relationships that supports a two-way (PLLC and AOC) mentoring and learning process and a collaborative commitment to academic excellence.
- Seek ongoing input from the PLLC on course and certificate content; and
- Work with the Faculties to ensure the courses are aligned, as much as possible, with PLLC values and principles.

The leadership efforts of the AOC will benefit four specific stakeholder groups:

- *Students* will benefit from an academically rigorous, enriching and valuable learning experience that contributes to their academic program requirements, and provides opportunity for leadership development in an inter-disciplinary environment.
- *The University of Alberta* will benefit from the collaboration and synergies between the PLLC and the academic community through:
 - Provision of a program and experience that distinguishes the UofA in the field of inter-disciplinary leadership development.
 - Development of governance protocols, principles and implementation processes that can serve as examples for other inter-disciplinary initiatives.
- *The hosting Faculties* will benefit from the work of the committee by:
 - Increased clarity and broadly shared knowledge of the intentions of the PLLC and of the leadership certificate within that context;
 - Clarity of roles, relationships and responsibilities in certificate and course development, the required approvals, and program delivery;
 - A shared confidence in the credibility of the academic certificate;
 - Support and advice from the committee throughout the approval processes; and
 - Leadership development opportunities through affiliation with the PLLC.
- *The benefits to PLLC* from working with the AOC committee will include:
 - Having a cohesive, collaborative, and collegial academic body to support the PLLC certificate;
 - Shared commitment to a strong, credible and valuable academic certificate;
 - Shared and consistent communication to the academic community through a formal conduit which provides the ability to share the overall picture and intention of the PLLC and the leadership certificate—PLLC activities and values will be accurately represented to the academy;
 - Strong and focussed relationships with the academic community;
 - Ability to further develop knowledge about UofA governance practices and implementation by accessing the governance expertise from the committee members; and

- o Developing and sharing a model that can be used by other University initiatives.

i. AOC Membership

The membership of the AOC will consist of:

- Vice Provost (Academic) to serve as chair of the committee
- PLLC representative
- Representative from the Certificate Hosting Faculty
- Associate Deans (Undergraduate Programs) or Dean’s designate from :
 - o Host Faculty *Foundations of Leadership* Course – Faculty of Arts
 - o Host Faculty *Topics in Leadership* Course – Faculty of ALES
 - o Host Faculty *Experiential Workshops* – Alberta School of Business
 - o Host Faculty *Capstone Course* – Faculty of Science

ii. AOC Operating Principles (Values and Principles of Practice)

<i>Value: how the AOC will get to where it wants to go</i>	<i>Principles of Practice that reflect the values</i>
Student-based approach	The PLLC and AOC will collaborate to serve the best interests of the students in the provision of a superior academic experience
Reflecting the PLLC mission and values	Consider the PLLC values and principles in forming and developing positions and providing advice.
Collaborative engagement	The relationship is characterized by open, timely, complete and transparent information exchange.
	PLLC and the AOC will adopt, demonstrate and maintain a commitment to the success of the PLLC and the academic programs associated with the PLLC.
A solution/ outcomes-based approach	The AOC and the PLLC will address concerns and issues by confirming the shared, desired outcome and seeking the most feasible and effective solution.
A learning approach	Reflecting respect for the experience, knowledge and abilities of all stakeholders, the PLLC and AOC will actively and consciously engage in two-way mentoring and learning.

iii. Roles and Responsibilities of AOC Committee

The AOC is an advisory committee endorsed by the deans of the PLLC certificate and course-hosting faculties, and the Office of the Provost. The committee will be guided, but not restricted by, the following roles:

Academic content stewards:

- Ensure that each of the four courses contributes to the mission, values and principles, and overall goals of the PLLC, and the intention of the leadership certificate;
- Monitor the ongoing alignment of the courses with the values and principles of the PLLC;
- Maintain consistency in standards and approach to support a student-centred and service-oriented approach; and
- Review and endorse a robust application and admissions policy.

Effective Communications Stewards:

- Support accurate and timely information dissemination and exchange between PLLC and the academic community.
- Consult on all forms of communication and information relating to the **Leadership Certificate** program and courses before publication.
- Communication plans and materials should be reviewed by AOC before publications.
- Communication between the committee and the PLLC will be guided by the Communications Protocol (Appendix I).
- All AOC actionable items and decisions will be recorded and shared with PLLC.

iv. Role of the AOC Chair

The Vice-Provost, Academic Programs and Instruction will serve as the Chair of the AOC and will:

- Be the primary point of contact between the PLLC, the University and the AOC.
- Call committee meetings or facilitate conversations of committee members as required.
- Chair all meetings and ensure the timely dissemination of the information and other communication on behalf of the AOC.
- Coordinate action on any dispute resolution as required.

v. Roles and Responsibilities (scope) of the PLLC relevant to the PLLC certificate, courses and governance.

- The Principal of the PLLC holds ultimate responsibility for the vision and intention of all college activities. The Principal is responsible for the foundational principles of the leadership certificate and ensuring that its delivery is consistent with those principles.
- The Principal will seek the knowledge, expertise and advice of the AOC in service to the initial and continual development of superior academic offerings that reflect the principles of the PLLC and high standards of pedagogy. Specifically, the Principal will refer to the expertise of the committee in matters of academic oversight and governance approval.
- The PLLC will refer all matters relative to academic oversight and governance approval to the AOC for their consideration and advice.
- The PLLC recognizes that the oversight and governance of academic programs associated with PLLC rests in the Faculties offering the courses and certificate.

vi. Term of the Committee

The AOC will remain as a standing committee (and meet as required) for the purpose of working with the PLLC to discuss changes in programming, and to engage with the PLLC as part of the process for evolution of the certificate program.

vii. Decision Making and Dispute Resolution

The AOC will operate using a consensus model.
If consensus cannot be reached the matter will be referred to the Provost for a final decision.

Appendix I. AOC/PLLC Communication Guidelines

The AOC, in its work to support the development and delivery of high quality academic offerings as part of the PLLC Leadership Certificate, is a key PLLC partner. Effective, timely and productive communication emanating from a respectful and collaborative relationship is essential. The following communication guidelines will guide formal communication (information requests or review) between the PLLC and the AOC.

- Consultation is required on all matters pertaining to the academic content of the proposed certificate, or matters that require approval(s) by University Governance committees.
- For each matter, which requires a significant information exchange between the AOC and the PLLC, each partner will designate a conversation leader to coordinate a timely and collective response.
- The intention or purpose of the information request, and the process timeline, will be provided at the time of the request. (i.e.: whether simple advice, material review, or formal approval being requested, or whether discussions are required to arrive at a mutually agreeable solution to a pending issue)
- When either the PLLC or AOC submits an issue for consideration by the other body, advance notice of the forthcoming request with as much information available at that time will be provided. For instance, if the PLLC is requesting a document to be reviewed by the AOC, it will inform the AOC of this intention sufficiently in advance.
- A collective response will be provided within two working days of receipt (as a general guideline). If this timeline cannot be met, notification will be provided immediately and a delivery time will be agreed upon.
- This does not preclude holding developmental meetings or workshops between the PLLC and the AOC as necessary.
- The communication loop will be closed by informing the other body how the information or response was used to inform the decision.

OUTLINE OF ISSUE

Agenda Title: **Proposal to Establish a Department of Critical Care Medicine and the Concurrent Termination of the Division of Critical Care Medicine, Faculty of Medicine and Dentistry**

Motion: THAT General Faculties Council recommend that the Board of Governors approve the establishment of a Department of Critical Care Medicine, as submitted by the Faculty of Medicine and Dentistry, and as set forth in Attachment 1, and the concurrent termination of the Division of Critical Care Medicine, to take effect July 1, 2016.

Item

Action Requested	<input type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry
Presenter	Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry
Subject	Proposed Establishment of a Department of Critical Care Medicine

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To transform the existing free standing Division of Critical Care Medicine into a Department of Critical Care Medicine. The Division currently operates much like a Department, with a director who sits on the Faculty Evaluation Committee (for evaluation of its own members) and on the Faculty's Chairs Committee. The Division has the responsibility for managing its own budget and teaching plan. We also recommend the current division director become chair of the department.
The Impact of the Proposal is	To strengthen the academic mission of the FOMD by removing organizational barriers to the further development of the academic critical care medicine. A resource-neutral move that both formalizes the <i>status quo</i> and allows the unit to respond to scholarly developments in the academic field. It will also enhance recruitment and retention to compete against other Departments of Critical Care in the country. It will also create effective governance structures without requiring additional costs.
Replaces/Revises (eg, policies, resolutions)	The department will replace the free standing Division of Critical Care Medicine.
Timeline/Implementation Date	July 1, 2016
Estimated Cost	Cost neutral
Sources of Funding	N/A
Notes	When this matter was considered by the GFC Academic Planning Committee, the committee requested that further details on library impact, organizational structure and budget be included for the consideration of General Faculties Council.

Alignment/Compliance

Alignment with Guiding Documents	<p>Institutional values (2015 Comprehensive Institutional Plan)</p> <p>"Our values: The U of A community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.</p> <p>Excellence: Excellence in teaching that promotes learning; outstanding</p>
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	<p>research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.</p> <p>Student Experience: The centrality of our students and our responsibility to provide an intellectually superior educational environment.</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA): The <i>PSLA</i> gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)). Section 26(1)(o) provides that GFC may make recommendations to the Board of Governors on a number of matters including the budget and academic planning; Section 26(1)(l) provides that GFC may make recommendations to the Board of Governors on the establishment of Faculties, Schools, Departments, Chairs, and programs of study in the University in any subject that GFC thinks fits.</p> <p>2. GFC Academic Planning Committee (APC) Terms of Reference/3. Mandate of the Committee:</p> <p>“APC is responsible for making recommendations to GFC and/or to the Board of Governors concerning policy matters and action matters with respect to the following: [...]”</p> <p>2. Units</p> <p>a. Subject to Article 32 of the Faculty Agreement, to recommend to GFC on the establishment and termination of Faculties, Departments, Schools and divisions, and on mergers involving Faculties, Departments or Schools. (Divisions are defined as academic units with authority over student programs. They may be budgetary units and may or may not be part of an existing Department.)”</p> <p>3. Board Learning and Discovery Committee (BLDC) Terms of Reference:</p> <p>“3. MANDATE OF THE COMMITTEE</p> <p>Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the <i>Post-Secondary Learning Act</i>, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall: [...]</p> <p>l. review proposals and recommendations of GFC concerning the establishment, continuation and re-organization of faculties, schools, departments and make recommendations to the Board in respect</p>

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	<p>thereof[.] [...]</p> <p>4. LIMITATIONS ON DELEGATION BY THE BOARD</p> <p>This general delegation of authority by the Board to the Committee shall be limited as set out in this paragraph. Notwithstanding the general delegation of authority to the Committee as set out in paragraph 3, the Board shall make all decisions with respect to:</p> <p>a. the establishment, continuation, reorganization or abolition of faculties, schools and departments”</p>
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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Chairs Committee, Faculty of Medicine and Dentistry, October 14, 2015 (For Consultation)</p> <p>Brygeda Renke , AASUA , January 25, 2016 (For Consultation)</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>Faculty Council Medicine and Dentistry - November 17, 2015</p> <p>GFC Academic Planning Committee - March 23, 2016</p> <p>GFC Executive Committee – April 11, 2016</p> <p>General Faculties Council - May 30, 2016</p> <p>Board Learning and Discovery Committee - June 2, 2016</p> <p>Board of Governors – June 17, 2016</p>
<p>Final Approver</p>	<p>Board of Governors</p>

Attachments (each to be numbered 1 - <>)

1. Attachment 1 (pages 1 – 29) – Briefing Note Academic Department of Critical Care
2. Attachment 2 (pages 1 – 4) – Chairs Presentation Critical Care Medicine (slides 1 – 21)
3. Attachment 3 (pages 1 – 3) – Recommendation of the Interim Dean, Dr. Richard Fedorak
4. Attachment 4 (pages 1 – 2) - DCCM Transition Brief Executive Summary
5. Attachment 5 (page 1) – Letter of Support from Dr. Shelley Duggan
6. Attachment 6 (page 1) – Letter of Support from Dr. Jonathan Davidow
7. Attachment 7 (pages 1-2) – Letter of Support from Dr. Michael Murphy
8. Attachment 8 (page 1-2) – Library Impact Statement
9. Attachment 9 (page 1) – DCCM Organizational Structure
10. Attachment 10 (page 1) – DCCM Budget Projections 2016-17

Prepared by: Dr. Richard Fedorak, Interim Dean, richard.fedorak@ualberta.ca
with assistance from Valerie Gaul, Executive Assistant to Dr. Fedorak,
valerie.gaul@ualberta.ca

Attachment 1



Briefing Note

Title: Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

Date: May 26, 2015

Version: 3.0

Prepared for: Richard N Fedorak, MD, FRCPC, FRCP (London), FRSC
Interim Dean, Faculty of Medicine and Dentistry, University of Alberta

Prepared by: David Zygun
Noel Gibney

Executive Summary

Goals

To strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine.

Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment.

Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine.

To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC.

Background Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure and represents a significant and growing component of the provision and cost of hospitalized medicine.

The Division of Critical Care Medicine (DCCM) is one of the largest integrated academic and clinical units in Canada with 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care. The DCCM has 7 primarily appointed GFT/Special Continuing Status (SCS) Faculty members and 6 GFT members secondarily appointed to Critical Care (individuals are not primarily appointed to critical care due to various financial and clinical issues). With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. The Division was successful in recruiting 2 additional special continuing status Faculty this year to join the FoMD in 2015 and 2016. Further, two internal clinical academic colleagues have been recruited to become SCS Faculty members. Finally, the Division has a translational anaesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The DCCM expects retirement of two clinical academic colleague (CAC) members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 GFT/SCS members by 2018.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, up to 2007, the majority of research within the DCCM was performed by the extensive effort of two Faculty members. Since 2007, recruitment of clinician scientists has led to substantial increases in academic productivity with close to 100 publications per year and over a \$1.4 annual grant funding. Academic Intensivists

have supported the growth of our educational program with extensive teaching efforts and financial support. The development of international research and clinical fellowships will further enhance the reputation of the FoMD externally.

Conclusions The transition of the current stand-alone Division of Critical Care Medicine to academic Department within FoMD will align the University of Alberta with progression of the academic specialty nationally and internationally, remove barriers to recruitment, remove internal discrepancies for Faculty appointed to critical care medicine, and facilitate the academic mission of the FoMD at the University of Alberta.

Purpose

The purpose of the transition of the Division of Critical Care Medicine to an Academic Department is four fold:

1. Strengthen the academic mission of the FoMD by removing organizational barriers to the further development of the academic critical care medicine
2. Ensure the FoMD at the University of Alberta is competitive nationally and internationally in the field of academic critical care medicine by removing barriers to academic recruitment
3. Acknowledge the progression of and increasing importance of academic critical care medicine as a distinct specialty within the health care system and align with organizational structure of health services organization such as Alberta Health Services who are, and will remain, major funders of academic critical care medicine
4. To remove discrepancies in representation for both primary and secondarily appointed critical care medicine Faculty in important FoMD processes and committees such as FEC

Background

History of Critical Care Medicine

The first post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's. During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery. Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago where the concept of positive pressure mechanical ventilation was developed and shown to improve patient survival. This demonstrated the potential to employ specialized skills originally developed by anaesthetists to support patients in the operating room, to provide life-sustaining support for patients with respiratory failure. Subsequently, cardiology demonstrated the value of coronary care units to improve the care of patients following acute myocardial infarction. The fledgling specialty of Critical Care Medicine grasped and integrated the rapidly developing technologies of patient monitoring and life support to improve the care of critically ill patients with multiple organ failure from a myriad of causes, while the dedicated intensivist, rather than multiple consulting specialists, coordinated patient care.

Unique Body of Knowledge

Critical Care Medicine now embodies a unique body of knowledge of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure. Premier international medical journals such as the New England Journal of Medicine, Journal of the American Medical Association (JAMA), The Lancet and the British Medical Journal maintain separate collections of articles dedicated to the care of the critically ill patient. There is now a significant number of international and national subspecialty journals entirely devoted to Critical Care Medicine, including some on more specialized

aspects of Critical Care Medicine, including neurocritical care, cardiovascular critical care, respiratory critical care, trauma and burn critical care, pediatric critical care, and critical care nursing. Critical Care Medicine long since evolved from a subspecialty of anesthesia concerned primarily with external means of ventilation to a distinct area of expertise, which through advances and innovation in research, has generated a unique body of knowledge focused on advanced life support technologies related to the support and treatment of critically ill patients characterized by multiple organ dysfunction and failure. There is ongoing work in the areas of advanced monitoring, clinical engineering, and translational medicine including work with biomarkers, genomics and metabolomics to enable us to better understand and treat a broad spectrum of critical illnesses in the future. Critical Care Medicine is a leader in the field of severe infectious disease and pandemic response.

Critical Care Medicine in Canada and at the University of Alberta

The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg. A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind and trained physicians from Canada and beyond, many of whom went on to develop critical care programs elsewhere in this country and around the world. Initially, Critical Care Medicine resided within Dr. King's academic home, the Division of Pulmonary Medicine. However, over time, it became clear that Critical Care Medicine had practitioners who had varied backgrounds in Anesthesia, Surgery, Emergency Medicine and other medical specialties.

In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division of the Faculty with the Divisional Director reporting jointly to the Dean and the Chairs of Medicine, Surgery and Anesthesia and attended with the chairs at the monthly meetings of the Dean with the Chairs. In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.

In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC). In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the Royal College of Physicians and Surgeons of Canada under its certification without examination program. Dr. Dat Chin has been a member of the Critical Care Medicine Nucleus Committee for many years and has had significant influence in the evolution of the specialty at the College. In 2006 the Royal College of Physicians and Surgeons of Canada commenced examination for FRCP(C) certification in Critical Care Medicine.

In 1995, following the regionalization of healthcare in Alberta, Capital Health included Critical Care as one of its Clinical Departments, allowing the Regional Program Clinical Director to control intensivist credentialing and provision of clinical privileges. Up to that point in time, credentialing had been the responsibility of the Chairs of Medicine, Surgery and Anesthesia. In 2000, the Regional Program Clinical Director for Critical Care,

Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. At this time, it was agreed within the Faculty of Medicine and Dentistry that it should be possible for faculty members to hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments. This was important for intensivists to receive full credit for academic activities in critical care, which, prior to that time, were not always perceived to be fully valued by the traditional base specialties. The ability of academic intensivists to practice and function fully within the DCCM has been a major advance and has significantly facilitated the development of an active research program within the Division.

In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the health care system, critical care was one of the initial specialties to be recognized with network foundation. The goals of the SCNs include: to build a community of research support for the SCN from bench to bedside to community and back again, to establish and facilitate a provincial research network that attracts external funding and is doing research projects of relevance to the SCN, establish the process that ensures the right research is being conducted in a timely manner (sets research priorities and attracts adequate financial and infrastructure support to achieve those priorities with partners) and to collaborate with the AHN and other academic partners to identify interested researchers and link them to appropriate front-line teams to embed research and knowledge translation within the health care system. Major health services research competitions have been created for SCNs by Alberta Innovates: Health Solutions who is supported by Alberta Health to address the needs of Albertans within the health care system. These grants are only available within the network structure and are known as Partnerships for Research and Innovation in the Health System (PRIHS). Critical care investigators have been highly successful in the first two competitions.

Critical Care Medicine in Edmonton

The sickest and most unstable patients are cared for in our critical care units where highly trained inter-disciplinary teams and advanced life support technology and monitoring equipment are centralized. In addition to this premise, the traditional notion of caring for the critically ill patient within a dedicated location in the hospital has evolved and now integrated the concept of an “ICU without walls” where necessary expertise and support is taken to patients developing critical illness and at-risk for adverse outcomes. Consequently, outreach services are now recognized as a vital component of Critical Care.

Critical Care Units fulfill a number of vital functions within hospitals:

- Life-support of the devastatingly ill patient who would likely die without such care.

- Post-operative life-support of otherwise stable patients after major surgical procedures such as solid organ transplantation, major cancer resections, neurosurgical procedures and complex cardiac and vascular procedures.
- Peri-operative support of the previously ill patient after surgery.
- End-of-life management of the patient originally admitted with potentially reversible illness whose illness is now clearly fatal.
- Outreach services to seriously ill patients on all medical/surgical units and to distant health regions and hospitals via using teleconference and videoconference technology.

The General Systems Intensive Care Units (GSICUs) fulfill these roles for critically ill patients with overwhelming multisystem illnesses from a variety of causes including severe sepsis and septic shock, pneumonia, multiple trauma, catastrophic surgical illness and severe metabolic derangement caused by renal and liver failure. Management of these patients requires highly skilled team members using sophisticated physiological monitoring systems as well as various means of life support techniques including mechanical ventilation, renal replacement therapy, infusion of potent vasoactive medications for hemodynamic support and active cooling and rewarming techniques. The GSICUs provide these critical care services 24 hours/day, 365 days/year.

Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, **38**:65-71). It is expected. The ratio of ICU beds to hospital beds will continue to rise.

Critical Care in the Edmonton Zone incorporates the General Systems Intensive Care Units (GSICUs) at the Grey Nuns, Misericordia, Sturgeon, Royal Alexandra and University Hospitals which includes the critical care component of the Firefighters Burn Treatment Unit at UAH. These ICUs provide critical care to patients from Edmonton and region, Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. In addition, patients with hepatic failure requiring liver transplantation are referred from all over Alberta, Northeastern British Columbia, Saskatchewan and Manitoba. Over one third of patients are from outside the Edmonton Zone.

The Firefighters Burn Treatment Unit provides care to patients with severe thermal injuries from Northern Alberta, Northeastern B.C. Northwest Territories and Western Nunavut. Its mandate also includes the provision of care for patients with major soft tissue injuries, including those related to trauma and infection, as well as those undergoing major head and neck cancer resections involving microvascular reconstruction. It is progressively being recognized as the Prairie Province referral centre for patients with major burns and soft tissue injury.

The Neurosciences ICU at UAH, is jointly managed in partnership between Critical Care and Neurosciences. Members of the DCCM are the most responsible providers for all patients in the Neurosciences ICU. It provides care to patients with severe neurological injury from trauma and stroke. It also provides advanced life-support to patients who require sophisticated neurological monitoring and critical care following major neurosurgical procedures.

The Cardiovascular ICU (CVICU) at the Mazankowski Alberta Heart Institute is jointly managed by Cardiac Sciences and Critical Care. Intensivists in the CVICU have special interest and skills in the care of critically ill patients following complex cardiac surgery and those receiving extracorporeal membrane oxygenation heart and lung transplantation and ventricular assist devices.

Intensivists provide care in the following critical care units

Hospital	Unit	Beds
Grey Nuns Community Hospital	Intensive Care Unit	8
Misericordia Community Hospital	Intensive Care Unit	6 (+4HIU)
Royal Alexandra Hospital	Intensive Care Unit	25
Sturgeon Community Hospital	Intensive Care Unit	5 (+3HIU)
Mazankowski Alberta Heart Institute	Cardiovascular Intensive Care Unit	24
University of Alberta Hospital	Burn Unit (ICU component)	4
University of Alberta Hospital	Neurosciences Intensive Care Unit	10
University of Alberta Hospital	General Systems Intensive Care Unit	28

Overall, the GSICUs, Burn ICU, and Neurosciences ICU provide over 30,000 patient days of care to approximately 4900 patients each year, while the CVICU provides over 7500 patient days of care to approximately 1600 patients yearly.

Service Demographics of Edmonton Zone GSICUs (2014/15)

Unit	Funded Beds	Admissions	Patient days	APACHE II score	ICU Mortality	Mechanically ventilated in first 24 hrs
RAH ICU	25	1382	8061	20.5	12.4%	66.6%

UAH ICU	28	1424	9207	21.3	15.3%	59.0%
GNCH ICU	8	393	1922	21.3	13.0%	61.6%
MCH ICU	6 (+4HIU)	362	2285	21.6	15.7%	70.3%
SCH ICU	5 (+3HIU)	316	2146	20.0	10.8%	53.7%
Total	72	3877	23621			

February 1, 2014 – January 31, 2015

Collaboration with pediatric ICU

There is significant academic and clinical collaboration between Adult Critical Care Medicine and the Pediatric Intensive Care Unit at Stollery Children’s Hospital. Academic Grand Rounds include presenters from the pediatric academic program. Trainee Research Day is shared with the adult ICU, PICU and Neonatal ICU residents/fellows. There are a number of joint seminars for residents and fellows held on issues of common interest, including ethics and disclosure of adverse events. During the Influenza A H1N1 pandemic in 2009, the expertise of the PICU in collaboration was used to develop an adult provincial ECMO program to support critically ill adults with severe viral pneumonia. Critical Care played an integral and lead role for preparations for SARS and Ebola and represents the hospital response for both adults and children.

Donation and Transplantation

Critical Care plays a vital role in the recognition of potential donors for organ transplantation and in the management of critically ill patients prior to and following major organ transplant procedures. Because of the potential for conflict of interest, great care is taken to ensure that intensivists involved in the recognition of potential donors are not involved in the subsequent management of patients who have received organ transplants. Dr. Jim Kutsogiannis has made major contributions to the donation process as chair of the HOPE Advisory Committee and also as the individual who has led the Donation Following Cardiac Death process locally.

eCritical Clinical Information System

Alberta Health Services, including the clinical Department of Critical Care Medicine, Edmonton Zone and the Critical Care Strategic Clinical Network has implemented eCritical, the most comprehensive, multimodal and integrated data repository of patient-specific critical care clinical information in the nation, which will present real-time information in an intuitive fashion for optimal and timely patient-specific decision making, while also enabling the creation of timely unit, zonal and provincial reports for administrative, quality improvement, education and research purposes. The eCritical TRACER data warehouse represents the most in-depth source of patient critical care

data in the world and will strongly support the health services research, translational research and academic quality agenda of the Academic Department. This data warehouse is population based and by the end of 2015 encompass ALL adult patients admitted to a critical care bed in the entire province.

RAAPID North

RAAPID North and South provide coordination of all patient transports, especially critical care transports within and into Alberta. Critical Care Medicine has worked with RAAPID North to develop algorithms for patient transport from centres in Northern Alberta and other provinces to the ICUs.

STARS

Critical Care Medicine has significant involvement with the Shock Trauma Air Rescue Society (STARS). This agency provides mobile critical care using rotary air transport. STARS transports critically ill trauma victims directly from the scene of their injury as well as critically ill patients from hospitals within range of their helicopters. Dr. Gibney was a member of the board of directors of STARS until June 2011. Currently 4 intensivists (Drs. Brindley, Davidow, Hudson and Suen) fly as flight physicians. Dr. Darren Hudson is now the associate medical director responsible for critical care provision. This will facilitate the education of providers and research into critical care transport medicine. This relationship has enabled us to provide education and electives in transport medicine to our trainees.

DCCM Faculty Members

The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM (see appendix 1). The other 14 with primary appointments in other parent disciplines are valued members who provide full clinical and academic support to Critical Care and, in addition, serve as “ambassadors” between Critical Care and their other disciplines. The DCCM is larger, in terms of members and Faculty, than the two current academic Departments of Critical Care Medicine (Calgary and Dalhousie).

The DCCM has 7 primarily appointed Faculty members (5 GFT and 2 special continuing appointments). These individuals are Dr. Sean Bagshaw, Dr. Peter Brindley, Dr. Dat Chin, Dr. Noel Gibney, Dr. Jim Kutsogiannis, Dr. Sean van Diepen, and Dr. David Zygun. In addition, the Division has six GFT members secondarily appointed to Critical Care. These members’ academic programs are focused on the critical care aspects of their specialties (individuals are not primarily appointed to Critical Care due to various financial and clinical issues). These individuals include: Dr. Dean Karvellas, an Intensivist/hepatologist with a special interest in the management of acute hepatic failure, intracranial pressure management in acute hepatic failure and hepatic transplantation; Dr. Rachel Khadaroo, a surgical intensivist with a basic science laboratory and translational research program focused on critically ill surgical patients; Dr. Ronald Brisebois, a surgical intensivist with a major surgical administrative role, traumatologist and liaison to the Canadian military; Dr. Sandy Widder, a surgical intensivist and trauma director whose academic program includes health services delivery, quality, acute surgery and trauma; Dr. Lawrence Cheung, an educator and program director for Respiriology who performs all his clinical service within Critical Care, and Dr. Ted Tredget, an international renown burn specialist with an academic program in all aspects of burn care.

With these 13 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014. Importantly, the Division is growing. Without funding from the FoMD or University, the Division was successful in recruiting 2 additional special continuing status Faculty this year. They will join the FoMD in 2015 and 2016. Further, at the suggestion of the Vice Dean, Faculty affairs with the previous Dean’s agreement as a mechanism of growing Faculty, two clinical academic colleagues with academic credentials to warrant (special continuing) Faculty status have agreed to become Faculty members at the Associate Professor level. Finally, the Division has a translational anesthesiology based Intensivist researcher entering the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 members by 2018. The Division expects retirement of two CAC members by 2018. With Departmental status, these positions will be dedicated to academic Faculty. As such, there is potential for 18 members by 2018.

DCCM Academic leadership

Position	Name
Director	Dr. David Zygun
Residency Training Program Director	Dr. Wendy Sligl
Research Director	Dr. Sean Bagshaw
Junior resident rotation coordinator RAH	Dr. Darren Markland
Junior resident rotation coordinator UAH	Dr. Adam Romanovsky

Education

Residency Training Program

The Division of Critical Care Medicine at the University of Alberta operates an Adult Critical Care Medicine training program. This program was recently internally surveyed in preparation of the external review by the Royal College of Physicians and Surgeons of Canada. It is two years in duration and is currently training six residents that have already completed primary specialty training in another program. In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology and Family Medicine. Training currently occurs at either at the University of Alberta Hospital or the Royal Alexandra Hospital. Graduates from our training program are well qualified to work in any Critical Care environment and are sought after both regionally and nationally. Because of demographic shifts, the need for specialty trained critical care physicians is expected to grow over the next 10 years.

Since its inception, the Adult Critical Care residency training program has an educational philosophy that emphasizes clinical competence and excellence. It is centered on a core of 12 months of critical care training divided between both hospital sites and 12 months of relevant electives. These rotations give the resident a broad range of exposures to nearly the entire spectrum critical illnesses in adults.

Research and research methodologies are also an important and mandatory aspect of the resident's training. Each resident is expected to complete a research project as part of their training and present it at both our annual Resident Research Day and at national or international conferences. This has helped to facilitate many publications from our trainees. Dr. Sean Bagshaw, Dr. Jim Kutsogiannis, Dr. Michael Jacka, and Dr. David Zygun have mentored and supported residents and fellows research activities.

In addition to clinical exposure, the Division provides and all of our residents participate in a weekly academic half-day. This is a mandatory component of their training and all residents are relieved of their clinical responsibilities regardless of their rotation. The half-day starts with a basic and clinical physiology seminar series, then a didactic session on fundamentals of Critical Care Medicine including research, biomedical ethics, medical-legal aspects of medicine, and communication. This is followed by resident driven seminars on specific topics in Critical Care Medicine based on the objectives of training. The Faculty also provides a quarterly "boot camp" to prepare incoming rotating residents for their upcoming ICU rotation and daily didactic teaching sessions for rotating residents at the UAH site.

Residency Training Committee

The Residency Program Committee (RPC) approves the terms of reference for the Program Director and the Critical Care Residency Training Committee. The Program Director chairs the RPC, oversees the Divisional Educational program and reports to the

DCCM Divisional Director and Postgraduate Medical Education Associate Dean. The Program Director, with the assistance from the committee, plans, organizes and supervises the program.

The Program Director and RPC are responsible for the development and operation of the program according to the RCPSC general standards of accreditation and the specific standard of accreditation and specialty training requirements for residency programs in adult Critical Care Medicine. The RPC is also responsible for the selection, evaluation and promotion of the resident as well as receiving and reviewing resident appeals. It provides career planning, mentoring and counseling and assists with problems related to stress. The RPC also reviews the program on a regular basis including its educational components, resources and facilities. In addition, the RPC continuously reviews the teaching in the program, including the basic and clinical sciences, within the CanMEDS competencies using the assessment of teaching staff and the feedback of the trainees.

Drs. Clint Torok-Both, Wendy Sligl and Dat Chin are responsible for the creation and administration of the written and oral examinations. They also assist the program director in preparing and reviewing the various in-training evaluations including: weekly evaluations, 360 degree evaluations, crisis resource management evaluations, family communication checklist, telephone consultation evaluations, grand round evaluations, and patient presentation evaluations. Dr. Sean Bagshaw is responsible for assisting the program director in guiding the residents in their mandatory research requirement and act as a resource for the residents. Drs. Derek Townsend, and Peter Brindley are responsible for ICU grand rounds, and medical simulation events.

Several members of the division have close associations with community ICUs, other Canadian centres and several international programs (including Australia, the U.K and the Middle East). As such, our trainees have many opportunities for diverse clinical electives and exchanges. Regular journal clubs enable development of critical appraisal skills, and opportunities to teach enable our trainees to develop their skills as educators.

While the majority of our residents have originally completed training in one of the more traditional disciplines of Pulmonary Medicine, Anesthesia and General Surgery, we are increasingly seeing residents with backgrounds in other areas such as Emergency Medicine, Nephrology, Cardiology, Neurology and Otolaryngology commencing critical care residency training. Over the last decade we have trained a number of international fellows, primarily from Saudi Arabia.

As a result of the high quality research produced in the division, the training program is receiving research fellowship applications from high quality international applicants. The DCCM is supporting research fellowships for national and international trainees. These trainees have originated from Ontario and South America with one trainee completing his MSc (Epidemiology). One of the challenges facing the program is finding non-

Ministry of Health funding to support these trainees, which will further enhance our international reputation



Medical Simulation

Research has increasingly shown that most adverse patient outcomes and medical errors involve suboptimal communication, teamwork, and crisis management. Furthermore these factors are poorly addressed by traditional education. However, they are ideally suited to Medical Simulation. Over the last five years, Simulation has become a regular feature of training and ongoing quality assurance in our ICUs. Trainees now receive regular and mandatory simulation exposure followed by structured debriefing and feedback based upon validated scoring systems (some of which were developed by our faculty members). For a number of years Dr. Peter Brindley was the Medical lead for Patient Simulation for Capital Health and an advisor on simulation to the Canadian Patient Safety Institute and the Royal College of Physicians and Surgeons of Canada. The University of Alberta and the Alberta Health Services became national leaders in acute care simulation. The regional simulation program has grown enormously over five years and now provides several thousand hours of annual simulation-based education. This has included resident physicians in Critical Care Medicine, Emergency Medicine, General Surgery, Ophthalmology, Neurosurgery and Psychiatry and others. Importantly, however, it has also included Critical Care Nursing Recruits, Trauma Nurses, General Ward Nurses, Critical Care Nurses, Respiratory Therapists and the Rapid Response Team. We have also delivered courses throughout the province (including Grande Prairie, Red Deer, Calgary and Peace River) and hosted a national simulation conference. We have also contributed to a number of peer reviewed simulation publications, national and international presentations, and several large grants for the development and delivery of simulation education.

Resident Career Planning

The career goals and objectives of the resident are identified early, e.g. a career goal as a clinician or academic. The content of the two year training period is reviewed, especially the elective rotations and the need for additional training in specific areas. Once accepted into the program the resident's training is tailored according to their career plans. The following are considered: their primary specialty, prior experience, career plans and need to obtain certification in a primary specialty.

There are multiple opportunities to provide career guidance. Career planning is a standing item on the semi-annual review with the residents. The current and prospective employment market is discussed. Specific advice about search strategies and techniques for ensuring a successful job application are outlined. The Program Director also forwards any advertised opportunities throughout the training period. The program supports a resident who needs to complete an elective in another hospital as

part of a job application. Some residents have entered the program with a potential offer of employment from their “home” university/hospital. Their training is tailored according to the ICU to which they are returning. Each resident is allocated an intensivist mentor who also provides informal career guidance as well as general advice and personal support.

Research

The goal of an academic department is to provide an environment where translational research can flourish; that is, to create an infrastructure with talented individuals where discoveries at the laboratory bench can be moved to the clinical arena in a timely fashion and where puzzling questions or observations at the bedside can be tackled by clinician scientists.

Research activity within the DCCM has shown remarkable growth in the last 3 years. During this period, we believe our Division has achieved several noteworthy accomplishments. Up to 2007, the majority of research within the DCCM was performed by the extensive effort of Drs. Jim Kutsogiannis and Michael Jacka, whose interests have centered primarily on neurotrauma, organ donation and perioperative outcomes.

In 2007, the Division was successful in recruiting Dr. Sean Bagshaw, a clinician scientist to further stimulate and develop a core research infrastructure. Early following his appointment to the Division, Dr. Bagshaw was awarded a major Independent Investigator Award from the Alberta Heritage Foundation for Medical Research. Dr. Sean Bagshaw is now the Director of Research for the DCCM, and has been awarded a Tier II *Canada Research Chair in Critical Care Nephrology*. He is also cross-appointed to the School of Public Health and the Epidemiology Coordinating and Research (EPICORE) Centre.

Critical Care Nephrology is a recognized strength of the DCCM. Dr. Bagshaw is recognized as a leader, both nationally and internationally, in this field. In addition, Dr. Kutsogiannis and Dr. Gibney have recognized expertise and research interest in this field. This work is further supported by the presence in the DCCM of 4 intensivist-nephrologists, Dr. Curtis Johnston, Dr. Shelley Duggan, Dr. Darren Markland and Dr. Adam Romanovsky.

On a semi-annual basis, the DCCM has sponsored a state-of-the-art symposium focused on Acute Kidney Injury and Renal Support in Critical Illness, targeted towards clinicians, trainees and nurses. This symposium, supported by Alberta Innovates – Health Solutions, has attracted several notable internationally recognized experts in the field to speak and has been well attended.

Landmark Research

The DCCM has participated and been a major contributor to several recently published landmark clinical studies in critical care.

POISE Trial (Lancet 2008; 371:1839-47): This large multi-centre randomized trial of patients at risk for cardiac events, evaluated the effects of peri-operative beta-blockers. The key findings from this trial were a higher risk of stroke and death in those patients allocated to peri-operative beta-blocker therapy. This trial has significant translational impact on the management of these patients in the peri-operative period. We were one of the top recruiting centers for the POISE Trial.

LOVS Trial (JAMA 2008; 299:637-45): This multi-center randomized trial compared conventional low-tidal volume ventilation with an experimental “open-lung approach” to ventilation for critically ill patients with acute respiratory distress syndrome. This trial found no difference in all-cause mortality between the groups; however, the “open-lung” group has fewer episodes of refractory hypoxemia and use of rescue therapies.

NICE-SUGAR Trial (New England Journal Medicine 2009;360:1283-97): This trial, supported by the Canadian Critical Care Trials Group (CCCTG), evaluated two approaches to glycemic control in critically ill patients. The key finding of this trial that tight glycemic control is associated with harm, has certainly led to widespread changes in clinical practice. We were one of the top recruiting centers for the NICE-SUGAR Trial.

Critically ill patients with 2009 influenza A (pH1N1) in Canada (JAMA 2009; 302:1872-79): This was an investigator initiated observational study of patients with respiratory failure infected with pH1N1 and admitted to ICU. This was a national collaboration. The GSICU, GNH, RAH contributed to the phase I study and the GSICU contributed considerably to the phase II study.

PROTECT Trial (New England Journal Medicine 2011;364:1305-1314): This trial, also supported by the CCCTG, evaluate two regimens for deep venous thrombosis (DVT) prophylaxis in critically ill patients. The key finding of this trial was no difference in the incidence rate of DVT and similar bleeding episode rates; however, there were novel secondary findings to suggest low-molecular weight heparin reduce the rate of pulmonary embolism and heparin-induced thrombocytopenia. Again, the DCCM was a top recruiter for this trial.

Daily sedation interruption in mechanically ventilated critically ill patients cared for with a sedation protocol: a randomized controlled trial (JAMA. 2012 Nov 21;308(19):1985-92) Multicentre randomized controlled trial of 430 critically ill, mechanically ventilated adults conducted in 16 tertiary care medical and surgical ICUs of protocolized continuous opioid and/or benzodiazepine infusions or to protocolized sedation plus daily sedation interruption. Main outcomes were time to successful extubation. Secondary outcomes included duration of stay, doses of sedatives and opioids, unintentional device removal, delirium, and nurse and respiratory therapist clinical workload (on a 10-point visual analog scale [VAS]). Investigator: Jacka. Funding CIHR

ABLE Study (submitted for publication) - Age of Blood Evaluation Trial in the Resuscitation of Critically Ill Patients. This is a randomized trial of “fresh” (<7 days) vs.

standard issue packed red cell transfusion in critically ill patients. We recruited a significant number of patients. Investigators: Bagshaw. Funding: CIHR.

REALISTIC 80 Study (manuscript in preparation)- Realities, Expectations, and Attitudes to Life Support Technologies in Intensive Care for Octogenarians. This is an observational study focused on >80 year olds admitted to ICU – largely examining their experience in and following ICU. Investigators: Bagshaw, Kutsogiannis. Funding: CIHR.

ROSII Trial (manuscript in preparation)- A Randomized, Double-Blinded Controlled Trial Comparing High vs. Standard Dose Oseltamivir in Severe, Influenza Infection in ICU. This is a randomized comparison of standard vs. high-dose oseltamivir for treatment of critically ill patients with severe pH1N1 infection. Investigators: Bagshaw, Kutsogiannis. Funding: PHAC.

OSCILLATE Trial (N Engl J Med. 2013 Feb 28;368(9):795-805) – The Oscillation for ARDS Treated Early (OSCILLATE) Trial. This multi-center randomized trial of early oscillation compared with conventional lung-protective ventilation for critically ill patients with acute respiratory distress syndrome (ARDS). Investigators: Jacka, Bagshaw. Funding: CIHR.

ICU Frailty Study (CMAJ. 2014 Feb 4;186(2):E95-102) - A prospective multicentre observational study of frailty in critically illness. This is an observational study of all admissions aged>50 yrs. to the ICUs at the University of Alberta Hospital, Grey Nuns Hospital, and Misericordia Hospital (Edmonton) and Foothills Medical Centre, Peter Lougheed Hospital, and Rockyview General Hospital (Calgary) to objectively evaluate the prevalence of “frailty” in critically ill patients using the validated “Clinical Frailty Scale”. Investigators: Bagshaw, McDermid, Stelfox, Stollery, Rokosh, Majumdar, Rolfson, Tsuyuki. Funding: CIHR, CICF, UHF

Examples of DCCM Investigator Initiated:

SPARK Study (Trials. 2010 May 11;11:50)- A multi-center phase II randomized blinded controlled trial of the effect of furosemide in critically ill patients with early acute kidney injury. This is a randomized trial is a comparison of low dose furosemide infusion vs. placebo to maintain urine output in critically ill patients early acute kidney injury. The primary outcome is progression of kidney injury. Investigators: Bagshaw, Gibney. Funding: AHFMR.

TOP UP Trial - A Randomized Trial of Supplemental Parenteral Nutrition in Under and Over Weight Critically Ill Patients. Investigators: Kutsogiannis, Karvellas. Funding: RAH HF, CICF. This study was integral in the development of a subsequent phase 3, NIH funded study lead by Dr. D. Heyland.

Prophylactic perioperative sodium bicarbonate to prevent acute kidney injury following open heart surgery: a multicenter double-blinded randomized controlled trial (PLoS Med. 2013;10(4):e1001426) - This is a multi-center randomized trial of NaHCO₃ compared with saline for prevention of acute kidney injury in high-risk patients undergoing cardiac surgery with cardiopulmonary bypass. Investigators: Bagshaw. Funding: CICF.

Examples of DCCM Multi-Center Investigator Initiated:

STARRT-AKI Trial - Standard versus Accelerated initiation of Renal Replacement Therapy in Acute Kidney Injury (STARRT-AKI). This is a multi-centre pilot randomized trial of early vs. standard RRT initiation in critically ill patients with AKI has led to a multimillion Investigators: Bagshaw. Funding: CIHR, UHF and CIHR.

Research Collaboration

Members of the DCCM are actively collaborating with several well-recognized regional, national and international research groups on a variety of research themes including the following:

Canadian Critical Care Trials Group (CCCTG): Current studies include: OSCILLATE trial, REDOX trial, REALISTIC 80 study, ABLE trial, Influenza A pH1N1 study, and PRECISE trial.

Canadian Acute Kidney Injury (CANAKI) Study Group: This is an investigator-initiated collaborative of Canadian critical care and nephrology researchers, currently led by Dr. Bagshaw (U of A) and Dr. Wald (U of T), with a mutual interest in acute kidney injury and renal support in critically ill patients. The CANAKI Study Group is investigating a program of research centered on the ideal timing of when to initiated renal replacement therapy.

Rapid Response Systems (Medical Emergency Team/Rapid Response Team): In addition to several local investigator-initiated projects focused on RRS, the DCCM is also collaborating with well-established centers of excellence in Australia, United States and Sweden, evaluating the impact of RRS on the quality of care and outcomes for hospitalized patients.

Alberta Sepsis Network: Several members of the DCCM are participants in this provincial network of researchers at the University of Calgary and the University of Alberta and funded by Alberta Innovation – Health Solutions (Zygun, Kutsogiannis, Bagshaw, Sligl, Gibney).

Acute Dialysis Quality Initiative (ADQI): Members of the DCCM (Gibney, Bagshaw) have had an active ongoing role with ADQI since its inception in 2002, an internationally recognized and respected working group that has been a driving force in quality improvement and research in the field of Critical Care Nephrology.

Critical Care Strategic Clinical Network: As indicated previously, DCCM members are active in the core committee and scientific arm of the network. This has afforded the members of the network to participate and be successful in provincial funding through junior investigator funding competitions and PRIHS competitions (AI:HS).

Research Infrastructure

Currently, a dedicated on-site office with 5 research workstations supports research at the University of Alberta Hospital. The office employs a full-time office manager whose salary is supported by contributions from the DCCM intensivists. The office also employs four part-time research coordinators. The current funding structure for coordinators is based on cost-recovery with direct billing to investigators for coordinator activity. In addition, the University provide Human Resources and Finance/Accounting support for the research office. The research office at the Royal Alexandra Hospital currently employs up to four coordinators. The research office at the Grey Nuns Hospital is similarly structured, employing two part-time coordinators.

Research activity in the DCCM is also supported by a number of additional resources. The Minimal Data Set (MDS) database supplied data from 2002 to 2012, which routinely captured key demographic, diagnostic, clinical, and outcome data on individual admissions to all ICUs in the Edmonton zone. This database currently contains patient-level data on approximately 25,000 independent ICU admissions. This resource has proven to have numerous research applications. In addition, the DCCM has recently integrated a provincial bedside critical care-focused computer information system (eCritical). This system has a number of research applications including: patient screening, data capture and numerous primary study applications. The TRACER data warehouse is the most comprehensive critical care data warehouse available to health services researchers in the world.

Trainee Supervision

In addition, the DCCM, largely through the efforts of Drs. Bagshaw, Zygun, Brindley, Sligl, and Kutsogiannis is now supervising the research activity of several trainees, including medical students, post-graduate residents, graduate students and international post-graduate fellows. The results of all of these studies (except those still ongoing) have been either presented at scientific meetings or published in peer-reviewed journals. The DCCM accepted its first international research fellow (Brazil) in September and October 2010.

Research Activity by Trainees (2007-2015)

Recent Trainees Supervised:

M. Douma, Nurse Practitioner trainee, University of Toronto. Project: Resuscitation following penetrating abdominal and pelvic trauma

Dr. L Remington, Infectious Disease resident, University of Alberta. Project: Community Acquired Pneumonia

Dr. S. Turvey, Infectious Disease resident, University of Alberta. Project: Survival of HIV-infected Critically Ill Patients in the Era of Highly Active Antiretroviral Therapy

Dr. A. McFarlane, Internal Medicine Resident, University of Alberta.

Project: Hospitalized Influenza Patients during 2013-2014; a Comparison of ICU and Ward Treated Patients including Antimicrobial Therapy, Adverse Events, and Outcomes

Dr. T. Dragon, Medical Microbiology resident, University of Alberta. Project: : Nosocomial gram-negative bacteremia in intensive care: epidemiology, antimicrobial susceptibilities and outcomes.

Dr. L. Azevedo, International Research Fellow, University of Sao Paulo. Project: Incidence and long-term outcomes of critically ill adult patients with moderate-to-severe diabetic ketoacidosis: retrospective matched cohort study.

Dr. P. Fidalgo, International Research Fellow, Department of Nephrology, Hospital Fernando Fonseca. Project: Association between transient acute kidney injury and morbidity and mortality after lung transplantation: a retrospective cohort study.

Dr. F. de Sousa Cardoso, Hospital Fernando Fonseca. Project: Respiratory rate at intensive care unit discharge after liver transplant is an independent risk factor for intensive care unit readmission within the same hospital stay: a nested case-control study.

Dr. Ilana Kopolovic, Internal Medicine Resident, University of Alberta. Project: Kidney Outcomes in Patients Undergoing Surgical Correction of Abdominal Aortic Aneurysms.

Dr. Wei Wang, Cardiac Surgery Resident, University of Alberta. Project: Post-Cardiac Surgery Acute Kidney Injury in Octogenarians.

Dr. Ivens Augusto de Souza, Post-Graduate Fellow, Sirio Libanes Hospital, University of Sao Paulo, Brazil. Project: Fluid Balance in Critical Illness: Impact of Acute Kidney Injury on Outcome.

Dr. L. Asadi, Infectious Diseases Resident, University of Alberta. Project: Macrolide-based regimens and mortality in hospitalized patients with community-acquired pneumonia: a systematic review and meta-analysis. Dr. Asadi received the Abbott Abstract Award as well as the John Embil Award for excellence in infectious diseases research by a trainee at the Association of Medical Microbiology and Infectious Diseases Annual Meeting, Quebec City, QC, April 2013

Dr. Adam Romanovsky, Critical Care Medicine Fellow, University of Alberta. Project: Rate of correction of hyponatremia post liver transplantation and possible consequences of a rapid rise in serum sodium.

Dr. Heidi Choi, Internal Medicine Resident, University of Alberta. Project: Incidence and outcomes in critically ill patients admitted with diabetic ketoacidosis.

Dr. Dominic Carney, Critical Care Medicine Fellow, University of Alberta. Project: Outcomes of patients with Usual Interstitial Pneumonia admitted to the intensive care unit.

Dr. Constantine Karvellas, Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Graduate Student, Divisions of Critical Care Medicine and Gastroenterology, University of Alberta. Project: Perioperative prognostication in liver transplantation.

Dr. Paul Engels, Critical Care Medicine Fellow, University of Alberta. Project: Pleth Variability Index in Critical Care Trauma Patients. Funding: Masimo Inc.

Ambica Parmar, Summer Student, Undergraduate, University of Alberta. Project: Medical emergency team and end-of-life care. Funding: Health Quality Council of Alberta Scholarship and Alberta Heritage Foundation for Medical Research/Alberta Innovates – Health Solutions Summer Studentship.

Dr. Kris Chan, Internal Medicine Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Amanda Roze des Ordons, Anesthesiology Resident, University of Alberta. Project: Clinical outcomes and prognostic factors in patients with acute myelogenous leukemia (AML) admitted to the intensive care unit: a case-control study.

Dr. Hussein Kanji, Emergency Medicine Resident, University of Alberta. Project: Relative Difference between pre-operative and cardiopulmonary bypass mean arterial pressures is independently associated with cardiac surgery-associated acute kidney injury. Funding: Edmonton Civic Employees Grant.

Dr. Holly Hoang, Infectious Diseases Resident, University of Alberta. Project: Macrolide use in the treatment of critically ill patients with pneumonia: incidence, correlates, timing, and outcomes. Dr. Hoang won 1st Prize for Subspecialty Resident Oral Presentation, Department of Medicine Research Day

Dr. Luc Benoit, Internal Medicine Resident, University of Alberta. Project: Tremor due to Vancomycin Therapy: A Case Report and Literature Review.

Dr. Joshua Landy, Internal Medicine Resident, University of Alberta. Project: Gonococcal Septic Shock, Acute Respiratory Distress Syndrome, and Multisystem Organ Failure: A Case Report.

Dr. Constantine Karvellas, Critical Care Fellow, A case-control study of single-pass albumin dialysis for acetaminophen-induced acute liver failure.

Dr. Aidan Cunniffe, Family Medicine/Emergency Medicine Resident, University of Alberta. Project: members of critically ill patients: a feasibility study.

Thesis Supervision, University of Alberta:

Dr. K. Macala,

Dr O. Rewa,

MSc (Epi): Acute Kidney Injury. Supervisor: S. Bagshaw

Dr Yahya Khormi, Neurosurgical Resident, University of Alberta. Master's Thesis: Compliance with brain trauma foundation guidelines for intracranial pressure monitoring in severe traumatic brain injury and its effect on outcome: A population based study. Supervisor: D. Zygun

Dominique Michaud R.N. Assessment of 4% trisodium citrate as compared to saline or diluted heparin solution to ensure patency of central venous catheters in critically ill patients in the intensive care unit. Successfully completed MSc Nursing, The University of Alberta, 2002. Co-Supervisor: D.J. Kutsogiannis

Dr. Jun Gao, Biostatistician, Health Canada. Comparison of three methods of correlated survival analysis in a randomized trial of continuous renal replacement therapy. Successfully completed MSc Biostatistics, The University of Alberta, 2004. Co-Supervisor: D.J. Kutsogiannis.

Mrs. Cathy Alberda, MSc Nutritionist, The Royal Alexandra Hospital. Probiotic Therapy in Critically Ill Enterally Fed Patients. Successfully completed MSc Nutrition, The University of Alberta, 2005. Co-Supervisor: D.J. Kutsogiannis.

Dr. Gonzalo G. Guerra, Pediatric Intensivist, The University of Alberta. Safe Administration of Milrinone Infusion. Successfully completed MSc. Epidemiology, The University of Alberta June 6, 2011. Supervisor: Dr. D.J. Kutsogiannis.

Dr. Sayf Gazala, Trainee, General Surgery, The University of Alberta. Quality of Life after video assisted thoracoscopic surgery (VATS) anatomical lung resection for lung cancer. Completed first of two year MSc Clinical Epidemiology, the University of Alberta. Supervisor: Dr. D.J. Kutsogiannis.

Research Productivity

The academic productivity of the proposed Department has increased steadily. The most recent 2 years are included as Appendix 2. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014.

Financial Support

In addition since 2009, research activity in our Division has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research), Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231. Examples of funding success are identified in Appendix 2.

The educational program and research office is supported by a voluntary tithe on clinical earnings of intensivists. The members contribute a total of \$245,400 annually. This has increased by \$10000 from 2013 due to efforts of the Research Director, Program Director, and Divisional director.

The FoMD provides funding for 4 GFT academic rank-based salaries (Zygun, Brindley, Chin, Gibney) while the fifth GFT salary is provided in combination with Canada Research Chair (Bagshaw). Alberta Innovates: Health solutions support Drs. Zygun and Bagshaw. All GFT positions are cost shared with Alberta Health Services. In addition, the DCCM shares an Administrative Professional Officer, Jacqueline Jubinville, with the Department of Anesthesiology and Pain Medicine. The Faculty of Medicine and Dentistry provides stipends to the Residency Training Program Director and to the clinical faculty members who are actively involved in teaching. In addition, the FoMD provides a 0.5 FTE administrative assistant to the Director. This assistant along with the 0.5 FTE provided by the Post Graduate Medical Education Office forms a 1.0 FTE administrative assistant for the entire educational program. The Division also utilizes the administrative support provided to the Zone Clinical Department Head and Senior Medical Director by Alberta Health Services as the clinical and academic programs are intimately linked in critical care. (Residents, rotating and critical care, provide tier 1 coverage in the zone ICUs).

The majority of funding required for resident education and research infrastructure is obtained from the faculty members through the aforementioned contributions.

Future Directions

Academic activity in the DCCM has increased considerably in the past years – highlighting a healthy balance between local investigator-initiated studies and educational programs, provincial collaborative efforts, nationally collaborative studies and Participation in the Critical Care Royal College Critical Care subcommittee, along with internationally collaborative work and industry partnership. Members are strongly supportive of dedicated future recruitment aimed to attract academic intensivists that will be facilitated by Academic Department status. All members support the academic mission of the combined AHS Clinical Department of Critical Care Medicine and proposed Academic Department of Critical Care Medicine, FoMD, University of Alberta. The overarching goal for the proposed academic Department of Critical Care Medicine is to improve the lives and care of those individuals affected by critical illness through improvements in health services delivery, translational research, clinical research, epidemiological research, and all levels of physician and allied health care provider education.

Health Services Research/Quality/Patient Safety

Health Services Research and specifically patient safety and quality improvement are concepts, which are deeply embedded in the culture of Critical Care Medicine. This is likely due to the combination of severity of illness of patients combined with the use of multiple high risk medications and sophisticated life support technologies. In collaboration with the Critical Care Strategic Clinical Network and eCritical, we are positioned to become international leaders in health services research for critical care medicine. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. Despite our recent success we believe that the research activity of our Division possesses huge potential to be international leaders. Our vision for the near future largely encompasses the successful recruitment of additional clinician scientists. The TRACER data warehouse will provide an unparalleled resource to facilitate health services, quality and patient safety research. In addition to the work Dr. Bagshaw has accomplished in the fields of critical care nephrology, medical emergency teams, and critical care capacity, our two new special continuing status recruits have strong expertise in the areas of quality and health services research. The successful recruitment of a surgical intensivist with graduate training in academic quality and patient safety will further this quality research objective. Our second recruit joining the FoMD in 2016 after completion of his PhD in Epidemiology already has had success in grant and publications in health services research and critical care

Translational Research

The proposed academic Department will continue to strongly support the FoMD Departments of Medicine, Surgery, and Anesthesia Faculty members who possess translational research programs. Currently, Dr. Rachel Khadaroo maintains a laboratory in the Department of Surgery. Due to the challenges of maintaining an acute surgery and intensive care practice Dr. Khadaroo looked for partnerships to maintain y=her

laboratory productivity. She has taken on a major mentorship role for an excellent Anesthesia based Critical Care trainee and with the strong support of Critical Care, Surgery and Anaesthesia, she has entered the CIP program. The Division has committed to recruit this individual to the proposed Academic Department of Critical Care Medicine upon successful completion of her PhD in the CIP program. She will primarily work in Critical Care but there is agreement she will share the laboratory with Dr. Khadaroo. We expect such collaborations to continue to expand with the progression to Academic Department status.

Clinical and Epidemiological Research

The current strengths of the Division in Critical Care Nephrology, Critical Care Epidemiology and clinical research will continue to grow with subsequent recruitment of academic intensivists. With the recruitment of Drs. Dean Karvellas, David Zygum, Sean van Diepen, there is planned increasing academic productivity in subspecialty Critical Care. The fields of focus and strength will be critical care hepatology (including transplant), Neurocritical Care, and Cardiovascular Critical Care. It is expected the academic Department of Critical Care Medicine will be international leaders in these burgeoning Critical Care subspecialties.

Education

Our first goal will be to maintain our excellent RCPSC critical care training program, with expected successful external review in 2017. We have also initiated an international research fellowship program, with the aim of attracting foreign fellows to contribute to and complete research training within the DCCM. We have had three international research fellows in the past two years. We expect the available expertise and resources within the proposed academic Department will increasingly attract these trainees and bolster academic productivity. Significant efforts are underway to develop subspecialty training programs. The fields of neurocritical care and cardiovascular critical care are now recognized subspecialties within critical care recognized by national and international critical care societies. A Cardiovascular Clinical Critical Care fellowship is under development. Two Faculty are now certified neurointensivists as a requirement for the development of an internationally recognized neurocritical fellowship program. The DCCM has made substantial improvements in graduate student supervision over the last two years. The DCCM has gone from two to six Faculty registered to supervise graduate students in the School of Public Health or Medical Science. A concomitant increase in graduate students is only expected to continue with the upcoming recruitment. This will further enhance our academic productivity. We will continue to strongly support supervision of post graduate trainees in Medicine, Surgery, Anaesthesia, and Emergency medicine in their research projects.

Leadership

The members of the DCCM will continue to take leadership roles in the development of Critical Care Medicine in Canada and in our health care system to facilitate the academic

mission of the FoMD. The DCCM was one of the first interdepartmental divisions of Critical Care Medicine and the first stand alone Division of a Faculty of Medicine in the country. Graduates of the residency training program have gone on to currently occupy major academic positions elsewhere in Canada and internationally. The DCCM is increasingly being recognized as a leader in critical care research. The members of the DCCM occupy a number of important leadership positions nationally, within the province and locally. Members of the DCCM play a significant role in many areas within the Faculty of Medicine and Dentistry, Alberta Health Services, Covenant Health and other organizations. Members are also on the executive of the Canadian Critical Care Society and participate actively in the Royal College of Physician and Surgeons Subspecialty (Critical Care) committee.

Financial Considerations

The majority of intensivists are remunerated on a fee for service basis by billing the Alberta Health Care Insurance Plan, which has a separate set of critical care fee codes. In addition, intensivists receive specialist on-call payments from AHS. One intensivist is a member of the Department of Medicine Academic Alternate Practice Plan (AARP) and provides “shadow billings” to that department. Five intensivists have academic geographic appointments within the DCCM and receive academic rank based salaries, all of which are cost shared with AHS. The ICU directors receive a stipend for medical leadership from AHS Medical Affairs. The DCCM first submitted a proposal for a clinical alternate funding plan (AFP) to Capital Health in 2004, which was not supported. Subsequently, efforts were combined with the Academic Department of Critical Care Medicine in Calgary. Unfortunately, despite strong support by both University’s Critical Care Medicine Faculty and the AMA, Alberta Health suspended negotiations with Critical Care Medicine after an initial contract offer was provided by Alberta Health as they planned a major reassessment of the current ARPs in medicine and pediatrics. Since then, the DCCM has participated in efforts to develop and negotiate both AARPs and AFPs within the provincial academic framework. Patterns of work and challenges to academic productivity and measurement are similar to those in the neonatal and Pediatric Critical Care fields and as such negotiations will require. Discussions are ongoing to develop either a clinical AFP or AARP. The fee for service schedule for Critical Care Medicine in Alberta is highly competitive and as such we have had success in recruitment. However, these payments are for clinical work and a stable funding mechanism for academic intensivists is required. This is not an issue isolated to Critical Care Medicine but generalized to all non-ARP Departments. This is not viewed as a barrier to progression to Departmental status but rather a risk to the FoMD generally that we share regardless of academic status.

Currently, the Division does not require additional resources for the transition to Academic Department status. We do request the APO shared with Anaesthesia formally report to both the Chair of Anaesthesia and proposed Chair of Critical Care Medicine. The current APO reports that at times over 50% of her time are spent on the growing academic activity within the Division of Critical Care Medicine. Recognition of her efforts away from Anesthesia and in Critical Care through this minor governance structure

change represents current practice and not a substantial change. The relationship of the current Division with the Department of Anaesthesia is strong and will do not recommend substantial changes to current practice. We will be co-located on the second floor of CSB which will further facilitate the ability of the APO to cross cover these Departments.

Conclusions

Critical Care Medicine is a rapidly developing and expanding discipline, which impacts almost every other area of healthcare. The DCCM Faculty members have created a highly regarded reputation through their clinical care, research, teaching and leadership activities nationally and internationally. For a young discipline, the DCCM has carried a larger clinical, educational and research than might be expected. Similarly, its members have provided invaluable leadership within the Faculty of Medicine and Dentistry, Alberta Health Services and beyond. Although Critical Care Medicine has been a free standing Division within the Faculty of Medicine and Dentistry, creation of a full academic Department of Critical Care Medicine would ensure the appropriate academic profile for the discipline at the University of Alberta. In this respect, many inside and outside the Faculty of Medicine and Dentistry, including granting agencies, do not understand the concept of a free standing academic division within the Faculty. Creation of a full academic Department of Critical Care Medicine would provide clarity. It would also provide consistency with the Clinical Departmental status of Critical Care within Alberta Health Services, Edmonton Zone and with the Departments of Critical Care at the Faculty of Medicine at the University of Calgary and Dalhousie University, the former with whom, we have significant academic contacts in the Alberta Sepsis Network but even more so through the Critical Care Strategic Clinical Network of Alberta Health Services and with whom we are partners in the province-wide Critical Care Clinical Information System.

The Division of Critical Care Medicine does not consume a large proportion of resources within the FoMD due to its partnership with the health care system. Significant resources are not required for the transition. The advancement of Critical Care Medicine to a full academic Department would further elevate the profile of the discipline externally for recruitment. This would improve the attractiveness of Critical Care Medicine as we seek to further to advance the academic mission of the FoMD.

Appendix 1. Membership of the Proposed Department of Critical Care Medicine

Attached

Appendix 2. Research Productivity

Attached

Office of the Dean
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University of Alberta
Edmonton • Alberta T6G 2R7
Telephone: (780) 492-6621
Fax: (780) 492-7303
med.ualberta.ca

February 22, 2016

Dr. Steven Dew
Provost & VP Academic
2-40 South Academic Building

Dear Dr. Dew,

Re: Transition of the Division of Critical Care Medicine to the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.

I'm writing to provide my recommendation for the establishment of the Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.

Internal Faculty approvals have been obtained at the following stages:

- Faculty of Medicine & Dentistry Dean's Executive Committee approved March 9, 2015
- Faculty of Medicine & Dentistry Chair's Committee approved October 7, 2015
- Faculty of Medicine & Dentistry Faculty Council approved November 17, 2015

Critical Care Medicine is undergoing a fundamental change across Canada. Academic Health Science Centers are being challenged to address the rising demand for critical care medicine services and the education of new generations of Critical Care Medicine physicians and related healthcare providers. In addition, we are now asking Critical Care Medicine to standardize care and technologies across multiple hospital sites, optimize Intensive Care Unit integration and in-patient care, and participate in quality assurance, cost control, research and fundraising initiatives.

In order for Critical Care Medicine to meet these objectives, and to advance its long term growth and mission, I believe it must transition from a Division into a free standing Department of Critical Care Medicine within the Faculty of Medicine & Dentistry.

Currently, the Division of Critical Care Medicine in the Faculty of Medicine & Dentistry is one of the largest academic and clinical Critical Care units in Canada with 50 members, of whom 36 have primary academic appointments in Critical Care (5 GFT Faculty, 2 Special Continuing Academic Faculty and the remainder Clinical Academic Colleagues). The other 14 have their primary appointments in other medical subspecialties yet provide clinical and academic support to Critical Care Medicine. In addition, the Division is recruiting 2 Special Continuing Faculty that will join in 2016 and 2018.

Education

Critical Care Medicine runs a fully accredited Royal College of Physician and Surgeons of Canada, Critical Care Medicine Certification Program. There are currently 6 Residents in this program. In addition, over 115

Residents from Medicine, Surgery, Pediatrics, Anesthesia and Emergency Medicine rotate through the Intensive Care Units across Edmonton as part of their training programs and. With Department status, Critical Care Medicine will be able to enhance Undergraduate Medical Education teaching and increase the number of Graduate students and Research Fellowships.

Research

In 2014 Critical Care Medicine had over academic 80 publications and over \$3 million in grant funding, including 3 CIHR grants, as primary or principle investigator status. Between 2007 and 2015 there were 26 trainee supervised research projects and 8 graduate students completed their thesis. Since 2007, Critical Care Medicine has participated in 11 international multi-center landmark clinical trials, each published in highest impact journals. With Department status, Critical Care Medicine will be able to enhance and expand their research activities through recruitment of additional GFT faculty.

Clinical Care

Currently Critical Care Medicine incorporates the eight Intensive Care Units across the city (Grey Nuns Community Hospital, Misericordia Community Hospital, Royal Alexandra Hospital, Sturgeon Community Hospital, Mazankowski Alberta Heart Institute, University of Alberta Hospital Burn Unit, University of Alberta Hospital Neurosciences Intensive Care Unit and University of Alberta General Systems Intensive Care Unit). This represents 117 intensive care unit beds providing care to Edmonton and Northern Canada and in total providing over 30,000 patient days of care to approximately 5,000 patients each year. Through this clinical care activity there is tremendous opportunity for additional research, education and quality initiatives.

Fundraising

Critical Care Medicine, within the Faculty of Medicine & Dentistry, has tremendous opportunity and prospects for fundraising. It's important to note that members of the Critical Care Medicine Division currently, through their internal tithing process, support the education and research mission of the Division to the extent of approximately \$500,000 per year.

In summary, transition of Critical Care Medicine into an academic department of Critical Care Medicine, Faculty of Medicine & Dentistry, will provide the following advantages:

1. It will strengthen the academic mission of the Faculty of Medicine & Dentistry by removing any organizational barriers to future educational, research and fundraising development within Critical Care Medicine.
2. It will ensure that the Faculty of Medicine is competitive nationally and internationally in the field of Critical Care Medicine by removing any barriers to academic recruitment. Academic Critical Care Medicine Faculty do not want to be recruited into a division and to be competitive we must form a department.
3. Acknowledge the progression and increasing importance of Critical Care Medicine as a distinct specialty within the Royal College of Physicians and Surgeons of Canada and Alberta Health Services.

In support of this application I have attached the following items:

1. Briefing note dated February 23, 2015 by Dr. David Zygun and Dr. Noel Gibney entitled "Proposal for the Establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine & Dentistry.
2. A PowerPoint presentation entitled "Critical Care Medicine: The Future" prepared by Dr. David Zygun.

3. Letters of support from existing departments within the Faculty of Medicine & Dentistry:
 - a. Chair, Anesthesia, Faculty of Medicine & Dentistry, University of Alberta, Dr. Michael Murphy
 - b. Site Chief of Critical Care, Royal Alexandra Hospital, Dr. Jonathan Davidow
 - c. Site Chief Intensive Care Unit, Grey Nuns Community Hospital, Dr. Shelley Duggan

Sincerely,



Richard N. Fedorak, MD, FRCPC, FRCP (London), FRSC
Interim Dean, Faculty of Medicine & Dentistry
University of Alberta

cc: Dennis Kunimoto, Professor, Vice Dean – Faculty Affairs, Faculty of Medicine & Dentistry
David Zygun, Professor and Director, Division Critical Care Medicine
Noel Gibney, Professor, Division Critical Care Medicine

RF/ti

Academic Critical Care Medicine

University of Alberta

Attachment 3 – Slide 1 of 21



THE FUTURE
IS EXCITING

Attachment 3 – Slide 2 of 21



Established Specialty

- Critical Care Medicine now embodies a **unique body of knowledge** of the epidemiology, assessment, treatment and outcomes of critical illness and multiple organ failure
- Patients admitted to the ICUs are the healthcare system's **sickest, most complex and expensive patients** to care for (0.66% of GDP). The intensive care unit and intermediate care unit services have been found to be the highest cost among all categories of daily hospital services. Approximately **\$286 million** is spent annually on the provision of critical care services by Alberta Health Services (~1.5% of annual provincial health expenditures).

Attachment 3 – Slide 3 of 21



Established Specialty

- The need for intensive care continues to increase. Over 5 years in the US:
 - 4% decrease in the total number of hospital beds
 - ICU beds increased by 7%
 - Hospital non-ICU inpatient days increased by 5%
 - ICU inpatient days increased by 10%.
 - Annual critical care medicine costs increased by 44%
 - The proportion of hospital costs and national health expenditures allocated to critical care medicine decreased by 1.6% and 1.8
 - The ratio of ICU beds to hospital beds will continue to rise

Crit Care Med 2010, 38:65-71

Attachment 3 – Slide 4 of 21



Established Specialty

- Post-operative neurosurgery recovery room was created at Johns Hopkins Hospital in the 1920's
- During World War II, shock wards were established to resuscitate and care for soldiers injured in battle or undergoing surgery
- Critical Care Medicine with the application of life support technology evolved from the response to a poliomyelitis epidemic in Copenhagen 60 years ago

Attachment 3 – Slide 5 of 21



Development in Edmonton

- **First multisystem critical care units in Canada** were developed in the late 1960's in Toronto, Edmonton and Winnipeg
- A fellowship program in Critical Care Medicine developed in Edmonton by **Dr. E.G. King**
- In 1985, the Division of Critical Care Medicine was established under Dr. King as an Interdepartmental Division
- In 1987, Dr. Tom Noseworthy succeeded Dr. King as DCCM director and was followed by Dr. Richard Johnston in 1991.
- In the mid 1980s, **Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCSC).**
- In 1989, the University of Alberta Critical Care Residency Program was **one of the first to be accredited** by the Royal College of Physicians and Surgeons of Canada

Attachment 3 – Slide 6 of 21



Development in Edmonton

- In 1995, following the regionalization of healthcare in Alberta, Capital Health (now AHS) included Critical Care as one of its **Clinical Departments**, with the Regional Program Clinical Director (now Zone Clinical Department Head) responsible for controlling intensivist credentialing and provision of clinical privileges.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as acting Divisional Director and subsequently, in 2002 was appointed as Divisional Director.
- **This allowed the academic Division and the Clinical Department to merge their vision, mission and goals.**

Attachment 2 – Slide 7 of 21

Clinical

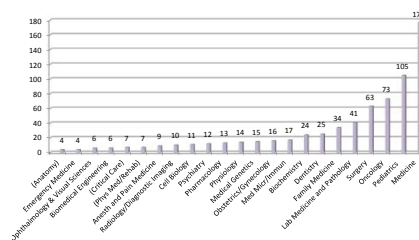
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is **(one of) the largest integrated academic and clinical critical care units in Canada.**
- DCCM provides Intensivist coverage for **8 Critical Care Units** (multisystem and specialized) in **5 hospitals** totaling **121 beds**. The DCCM provides care for over **6500 patients** per year (over **37500 patient days**). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.

Attachment 2 – Slide 8 of 21

Clinical

- The DCCM has **50 members**, of whom 36 have their primary academic appointment in the DCCM.
- The DCCM is **larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).**
- The DCCM has **9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments)**. In addition, the Division has six GFT members secondarily appointed to Critical Care.
- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. **This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.**

Attachment 2 – Slide 9 of 21



Attachment 2 – Slide 10 of 21

10

Clinical

- **Base Specialty**
 - 56% Medicine (Pulmonary, Nephrology, Infectious Disease, Hepatology, Cardiology, GIM)
 - 15% Anesthesia
 - 23% Surgery (Trauma, General, Cardiac, Burns)
 - 6% Emergency Medicine

Attachment 2 – Slide 11 of 21

Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

Attachment 2 – Slide 12 of 21

Research

- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research, Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund.* Annual grant funding has increased from **\$443,129 in 2013 to \$1,454,231 in 2015.**

Attachment 2 – Slide 13 of 21

Education

- The DCCM operates an accredited 2 year RCPSC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year (third largest in country)
- The DCCM trains one or two international critical care residents a year in addition to the RCPSC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)

Attachment 2 – Slide 14 of 21

Education

- The training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPSC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

Attachment 2 – Slide 15 of 21

Other Contributions

- Canadian Critical Care Society
- End of Life Care
- Goals of Care Designations
- Canadian Critical Care Trials Group
- Trauma Services
- Burn Treatment
- Cardiac Surgery
- Neurosciences
- Donation and Transplantation
- Medical Simulation
- Crisis Management
- Sepsis Infectious Disease – H1N1, Ebola, MERs

Attachment 2 – Slide 16 of 21

Risks to not proceeding

- Impair recruitment and research productivity
- A disengaged Clinical Faculty will be unlikely to continue to contribute in the same way (time, \$250K per year) placing our education and research infrastructure at risk
- Competitively disadvantaged compared to other Departments of Critical Care Medicine

Attachment 2 – Slide 17 of 21

Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Pastores, MD, FCCM^{1,2}; Neil A. Halpern, MD, MCCM^{3,4}; John M. Ortopello, MD, FCCM⁵; Natalie Kostelccky, RN⁶; Vladimir Kvetan, MD, FCCM⁷

Objectives: With the exception of a few single-center descriptive reports, data on critical care organizations are relatively sparse. The objectives of our study were to determine the structure, governance, and experience-to-date of established critical care organizations in North American academic medical centers.

Design: A 40-item survey questionnaire was electronically distributed using Survey Monkey to the leadership of 27 identified critical care organizations in the United States and Canada between September 2014 and February 2015. A critical care organization had to be headed by a physician and have primary governance over the majority, if not all, of the ICUs in the medical center.

Measurements and Main Results: We received 24 responses (89%). The majority of the critical care organizations (83%) were called departments, centers, systems, or operations committees. Approximately two thirds of respondents were from larger (> 500 beds) urban institutions, and nearly 80% were primary university medical centers. On average, there were six ICUs per

academic medical center with a mean of four ICUs under critical care organization governance. In these ICUs, intensivists were present in-house 24/7 in 49%; advanced practice providers in 63%; hospitalists in 21%; and telemedicine coverage in 14%. Nearly 60% of respondents indicated that they had a separate hospital budget to support data management and reporting, overnight of these ICUs, and rapid response teams. The transition from the traditional model of ICUs within departmentally controlled services or divisions to a critical care organization was described as gradual in 80% and complete in only 20%. Nearly 90% indicated that their critical care organization governance structure was either moderately or highly effective; a similar number suggested that their critical care organizations were evolving with increasing domain and financial control of the ICUs at their respective institutions.

Conclusions: Our survey of the very few critical care organizations in North American academic medical centers showed that the governance models of critical care organizations vary and continue to evolve. Additional studies are warranted to improve our understanding of the factors that can foster the growth of critical care organizations and how they can be effective. (Crit Care Med 2015; XX:00-00)

Key Words: administrative, critical care; governance; intensive care unit; organization; staffing

Attachment 2 – Slide 18 of 21

Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Paterson, MD, FCCM^{1,2}; Neil A. Halpern, MD, MCCM³; John M. Ortopello, MD, FCCM⁴; Natalie Kowalecky, RN¹; Vladimir Kostian, MD, FCCM⁵

- The objective of the study was to determine the structure, governance, and experience to date of established critical care organizations (CCO) in North American academic medical centers. A CCO had to have an advanced governance structure, that is, headed by a physician with primary governance over the majority, if not all, of the ICUs and critical care operations in the medical center.
- They identified 37 CCOs. 10 were subsequently excluded leaving 27 CCOs identified.
- The first CCO has been in place for more than 30 years, four CCOs were set up between 1990 and 2000, five between 2001 and 2005, eight between 2006 and 2010, and six between 2011 and 2014. Only one CCO was exclusively a pediatric CCO.
- Approximately 38% (9/24) identified their CCO officially as a department, 21% (5/24) a center, 13% (3/24) a system, 13% (3/24) an operations committee, 4%(1/24) an institute, 4% (1/24) a service line, 4% (1/24) a signature program, and 4% (1/24) a critical care hospital.

Attachment 2 – Slide 20 of 21

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

Critical Care Organizations in Academic Medical Centers in North America: A Descriptive Report

Stephen M. Paterson, MD, FCCM^{1,2}; Neil A. Halpern, MD, MCCM³; John M. Ortopello, MD, FCCM⁴; Natalie Kowalecky, RN¹; Vladimir Kostian, MD, FCCM⁵

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- They identified 27 CCOs
- The first CCO has been in place for more than 30 years, four CCOs were set up between 1990 and 2000, five between 2001 and 2005, eight between 2006 and 2010, and six between 2011 and 2014. Only one CCO was exclusively a pediatric CCO.
- Approximately 38% (9/24) identified their CCO officially as a department, 21% (5/24) a center, 13% (3/24) a system, 13% (3/24) an operations committee, 4%(1/24) an institute, 4% (1/24) a service line, 4% (1/24) a signature program, and 4% (1/24) a critical care hospital.

They Missed Us!

Attachment 2 – Slide 20 of 21

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

Questions?

Progress is impossible without change, and those who cannot change their minds cannot change anything.

- George Bernard Shaw

UNIVERSITY OF ALBERTA
FACULTY OF MEDICINE & DENTISTRY
Division of Critical Care Medicine

Attachment 2 – Slide 21 of 21

Attachment 4



Proposal for the establishment of an Academic Department of Critical Care Medicine in the Faculty of Medicine and Dentistry

Overarching Goal

- To strengthen the academic mission of the FoMD by further development of the academic critical care medicine.

Development as a Specialty

- The first multisystem critical care units in Canada were developed in the late 1960's in Toronto, Edmonton and Winnipeg.
- A fellowship program in Critical Care Medicine developed in Edmonton by Dr. E.G. King in 1970, was one of the first of its kind.
- In the mid 1980s, Dr. King and Dr. Tom Noseworthy were instrumental in the development of the Critical Care Medicine training programs of the Royal College of Physicians and Surgeons of Canada (RCPSC).
- In 1989, the University of Alberta Critical Care Residency Program was one of the first to be accredited by the RCPSC.
- In 2000, the Regional Program Clinical Director for Critical Care, Dr. Noel Gibney, was appointed as Divisional Director. This allowed the academic Division and the clinical Department to merge their vision, mission and goals. Faculty members could now hold a primary appointment in the DCCM and secondary appointments, if desired, in other departments.
- In 2012, Alberta Health Services created Strategic Clinical Networks (SCNs). Aligned with the Departmental structure of the AHS, critical care was one of the initial specialties to be recognized with network foundation.

Clinical

- Critical Care units are becoming an increasing component of hospitalized care. A 2010 study demonstrated the need for intensive care continues to increase. Over 5 years in the US there has been a 4% decrease in the total number of hospital beds but an increase in ICU beds by 7%. Hospital non-ICU inpatient days increased by 5% while ICU inpatient days increased by 10%. Importantly, annual critical care medicine costs increased by 44%. (*Crit Care Med* 2010, 38:65-71). It is expected the ratio of ICU beds to hospital beds will continue to rise.
- The Division of Critical Care Medicine, University of Alberta/Department of Critical Care Medicine, Edmonton Zone, Alberta Health Sciences (DCCM) is (one of) the largest integrated academic and clinical critical care units in Canada.
- DCCM provides Intensivist coverage for 8 Critical Care Units (multisystem and specialized) in 5 hospitals totaling 121 beds. The DCCM provides care for over 6500 patients per year (over 37500 patient days). Thousands of hospitalized patients are seen by our Medical Emergency or Rapid Response teams annually.
- The DCCM has 50 members, of whom 36 have their primary academic appointment in the DCCM. The DCCM is larger, in terms of members and Faculty, than the two current Canadian academic Departments of Critical Care Medicine (Calgary and Dalhousie).
- The DCCM has 9 primarily appointed Faculty members (5 GFT and 4 special continuing appointments). In addition, the Division has six GFT members secondarily appointed to Critical Care. With these 15 members, the DCCM is larger than 7 Departments in the FoMD based on data provided in 2014.

- The DCCM was successful in recruiting 2 additional special continuing status Faculty this year and will join the FoMD in 2015 and 2016. Finally, the DCCM has a translational anesthesiology based Intensivist researcher in the Clinical Investigator Program and will join Faculty in 2018. This will mean the proposed Academic Department will have 16 GFT/SCS members by 2018.

Research

- The academic productivity of the proposed Department has increased steadily. In 2013, 79 unique publications were documented by Divisional members. This increased to 94 in 2014. It is expected 2015 will see over 100 unique publications
- Since 2009, research activity in the DCCM has been successful in securing funding for the following (mostly peer-reviewed) grant applications: *Canadian Institutes for Health Research, Alberta Innovates: Health Solutions Alberta Heritage Fund for Medical Research, Canadian Intensive Care Foundation, Royal Alexandra Hospital Foundation, University of Alberta Hospital Foundation, Rick Hansen Foundation Man in Motion, Physician Services Incorporated, Children's Hospital of Eastern Ontario Research Institute, Royal Alexandra Hospital Nursing Research Fund, Transplant Fund Value Added, Canadian Blood Services, Edmonton Civic Employees Charitable Assistance Fund, Women and Children's Health Research Institute Innovation Grant, Centre for Excellence for Gastrointestinal Inflammation and Immunity Research, and Royal Alexandra Hospital Nursing Research Fund*. Annual grant funding has increased from \$443,129 in 2013 to \$1,454,231 in 2015.
- Dr. Sean Bagshaw, a clinician scientist and the Director of Research for the DCCM, holds a Tier II *Canada Research Chair in Critical Care Nephrology*.

Education

- The DCCM operates an accredited 2 year RCPSC Adult Critical Care Medicine training program.
- Currently training six residents that have already completed primary specialty
- The program has recently been approved for growth of an additional resident per year.
- The DCCM trains one or two international critical care residents a year in addition to the RCPSC residency program trainees
- The DCCM has developed a research fellowship for graduate training and a cardiac intensive care fellowship (one and two year)
- In addition, the training program is also responsible for providing Critical Care exposure of two to three months duration to approximately 125 residents from the Department of Surgery, Medicine and its subspecialties, Emergency Medicine, Anesthesia, Neurosciences, Cardiovascular Surgery, Obstetrics and Gynecology as required by the RCPSC.
- Graduate student supervision in health services research, clinical epidemiology, translational research is increasing.

Other Significant Contributions to Society

- Canadian Critical Care Society – End of Life Care, Goals of Care Designations
- Canadian Critical Care Trials Group
- DCCM is integral to Trauma Services, Burn Treatment, Cardiac Surgery, Neurosciences and Donation and Transplantation with U of A Hospital a referral centre for Western Canada

Attachment 5



Covenant Health
Grey Nuns
Community Hospital

January 15, 2016

Dr. Richard Fedorak
Interim Dean
Faculty of Medicine and Dentistry
University of Alberta
2J2.00 Walter C Mackenzie Health Sciences Centre
8440 – 112 Street NW
Edmonton, AB
T6G 2R7

Dear Sir:

RE: Critical Care Medicine

One can define a Department as a group comprised of individuals devoted to a particular academic discipline within a university. Not only is the goal to deliver excellent clinical care, but to further research, promote education, and generally support and advance the mission of the institution.

Since Dr. Zygun joined the Division of Critical Care in 2012, he has been focused on the transition from Division to Departmental status. It was a vision that was shared by the membership and we fully supported his efforts. We have grown tremendously during his tenure and now have strong leaders in the areas critical to Department success. We have a sought after training program, national research leaders as well as clinical expertise in cutting edge clinical care such as transplantation and cardiac support devices. As a consequence, we will be able to recruit outstanding individuals who will achieve individual and institutional success.

The Grey Nuns team fully supports this next phase of Critical Care in Edmonton without reservation. We are excited for the future and will support our Department in any way possible.

Yours truly,

Shelley Duggan, MD, FRCPC
Facility Chief, Grey Nuns ICU

cc: Dr. David Zygun

Attachment 6



Jonathan Davidow MD, FRCP(C)

*4228 10240 Kingsway Avenue, Edmonton, AB, T5H 3V9
Site Chief, Critical Care, Royal Alexandra Hospital
Associate Clinical Professor, University of Alberta*

May 11, 16

Dr. Richard Fedorak
Dean, Faculty of Medicine and Dentistry,
University of Alberta,
2J2.01WC Mackenzie HSC
Edmonton, AB T6G 2R7

Dear Dr. Fedorak,

As Site Chief of Critical Care at the Royal Alexandra Hospital, I am writing this letter to express my support of the Division of Critical Care Medicine's application for Departmental status within the FoMD at the University of Alberta. Our site has a very active role in the education of residents from various specialties and in training our own RCPSC Adult Critical Care Medicine residents, but we feel we have been underperforming with respect to academic productivity.

Over the past year, we have successfully recruited an Otolaryngologist/Intensivist who is completing his Master's degree in Health Quality and an Anesthesiologist/Intensivist who is completing her PhD in Physiology in the Clinical Investigator Program. We have several impending retirements in the next 3-4 years, and as we work on our strategic plan, we look to recruit towards our future goals of increasing our academic productivity, particularly in the area of Health Quality research. I feel strongly that the graduation of our Division to Departmental status will give us a competitive advantage in recruiting individuals who will help achieve these goals. We are very grateful for your ongoing support of this process.

Sincerely,

A handwritten signature in black ink, appearing to be "JD" followed by a long horizontal stroke.

Jonathan Davidow

2-150S Clinical Sciences Building
Edmonton, Alberta, Canada T6G 2G3
Tel: 780.407.8861
Fax: 780.407.3200
www.anesthesiology.med.ualberta.ca

17 Jan 2016
Edmonton AB

Richard Fedorak MD, FRCPC
Interim Dean, Faculty of Medicine and Dentistry
University of Alberta
Edmonton AB, Canada

Re: Support for Critical Care's bid to become a full department

Dear Dr Fedorak,

The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

To some, this may be surprising in that Critical Care Medicine had its beginnings largely in anesthesiology, with other specialties such as pulmonology. However, it has become clear to us in anesthesia that Royal College certification in anesthesia does not fully prepare one to practice as a specialist in Critical Care Medicine. The same applies to Pulmonology. Additional specific training in Critical Care Medicine is now necessary to produce a competent anesthesiologist/intensivist, as it does for all other specialties such as pediatrics, surgery, medicine, emergency medicine and others.

You have heard me say before that there is no question that Critical Care Medicine has reached 'stand alone' specialty status. I say that for the following reasons:

- The Royal College says so: Critical Care Medicine has its own residency program and specialist credential
- Critical Care is a unique body of knowledge, science and literature with a research and education agenda based on and driving these factors
- Specialists in Critical Care Medicine are required to possess unique credentials, and are subject to unique privileging by health care organizations
- Critical Care as a specialty has its own professional associations, societies, awards, scientific meetings, etc
- Gravitation to 'closed units' because of the unique body of knowledge is occurring on an international scale.

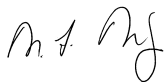
Clearly, the future of acute care medicine is integrally connected to Critical Care Medicine as larger and larger portions of our hospitals become critical care, observation and step down units. The natural consequence is that greater and greater proportions of our research base (especially clinical and health

systems) and learner education will fall to specialists in Critical Care Medicine.

Taken together, these factors insist that Critical Care Medicine has an academic agenda that is unique and substantial. The mission of the Faculty of Medicine and Dentistry is highly dependent on the activities of Critical Care Medicine now, and will only grow into the future in my opinion.

To reiterate my opening statement: The Department of Anesthesiology and Pain Medicine is fully supportive of the Division of Critical Care Medicine being awarded full Department status in the FoMD at the University of Alberta.

Yours truly,

A handwritten signature in black ink, appearing to read "M. F. Murphy".

Michael F Murphy MD, FRCPC
Professor and Chair

cc. Dr David Zygun

Attachment 8

NEW ACADEMIC PROGRAM LIBRARY IMPACT STATEMENT

Proposal for Department of Critical Care Medicine and the termination of the Division of Critical Care Medicine

Dr. Richard Fedorak, Interim Dean, Faculty of Medicine and Dentistry, has indicated that the Faculty of Medicine and Dentistry plans to establish a Department of Critical Care Medicine and terminate the existing Division of Critical Care Medicine.

The new Department of Critical Care Medicine will be launched on July 1, 2016. There is a predicted increase in Fellows and graduate students. The Faculty members will likely increase from thirteen to eighteen. The predicted increases are in the areas of cardiology critical care and neurological critical care. All students will be residents and therefore already registered as part of the current student complement of the Faculty of Medicine and Dentistry.

Impact on Collections

The proposed Department of Critical Care will be based exclusively on courses currently offered by the Division of Critical Care within the FoMD. The University of Alberta Libraries (UAL) currently maintains subscriptions to sufficient databases to support this department and its research. UAL already collects texts in the areas of medical education, critical care medicine, and research methodology to support current coursework, therefore no additional funds for the purchase of books are required. The area of cardiology is well-covered by our collection. However, the collections in neurological critical care are not as robust.

UAL subscribes to the major journals in these cardiology critical care but is missing Nature reviews Neurology and Cerebrovascular Diseases; two key neurology journals. Subscription costs for these journals tend to be high. Given that the students will be residents, they will already be authorized to access all of the Library's licensed electronic resources so there should be no added cost to the licenses.

Impact on Staff Time

Current residents receive instruction on library resources and literature searching, therefore no new instruction sessions will be required.

Researchers and Fellows in the new Department will require research support from UAL. This can be absorbed into current staffing.

Staff time will be involved if students interact with the staff at the library service desk, given that there is no increase in the number of students we do not foresee an increase on library staff time.

New Academic Program Library Impact Statement Certification

Submitted to the Academic Development Committee

The Library has examined the proposal for the Department of Critical Care Medicine in the Faculty of Medicine and Dentistry. We anticipate that the new program may incur additional costs for Library acquisitions.

The attached commentary outlines the anticipated impact on Library services and facilities of the above program, indicating the Library's current ability to support the program and any additional costs it might entail.

We support the changes proposed by the Faculty and look forward to working with the instructors and students.

Executive summary of costs:

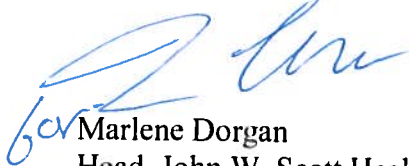
Total Costs	Initial Year	Ongoing - at full program capacity
1. Collections budget <ul style="list-style-type: none">• Purchases• Subscriptions• Electronic access	N/A TBD* N/A	N/A TBD* N/A (plus cost of inflation)
2. Capital budget	\$0	\$0
3. Operating/staffing budget	N/A	N/A
Total Costs:	TBD	TBD

*Costs will be determined during subscription process with journal vendors.

Submitted by



Gerald Beasley
Vice-Provost and Chief Librarian

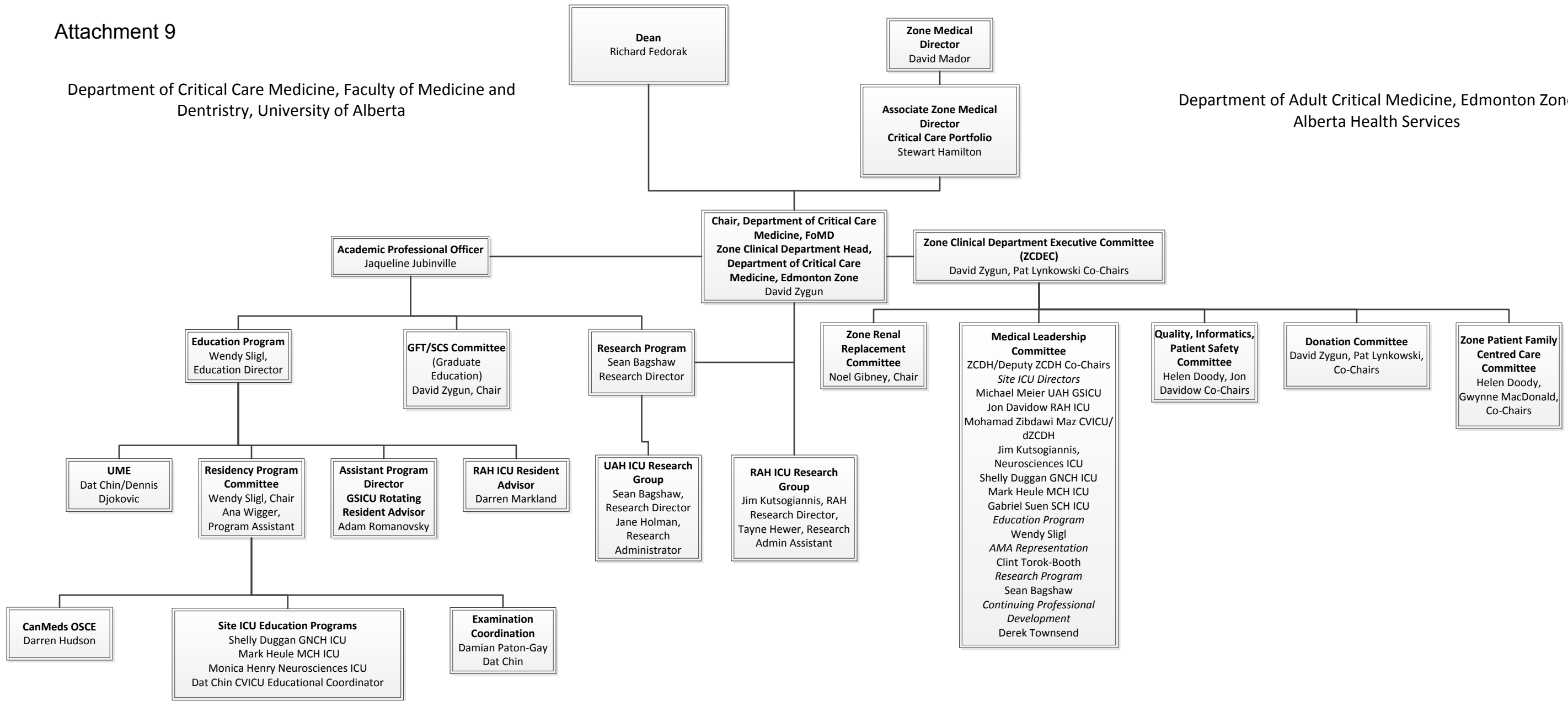


Marlene Dorgan
Head, John W. Scott Health Sciences Library

Attachment 9

Department of Critical Care Medicine, Faculty of Medicine and Dentistry, University of Alberta

Department of Adult Critical Medicine, Edmonton Zone
Alberta Health Services



Attachment 10

Division of Critical Care 2016-2017 Budget Projections

Fiscal 2016-2017 (Updated March 31, 2016)

	Operating	Conferece	CPE	CVICU	Donations	Foreign	Neuro	PGME PD	Research Office	Resident Fund	Total:
Revenue:											
Base Funding	108,263										108,263
Budget Planning											0
External Revenue		25,000									25,000
Faculty Funding	511,457										511,457
Fellows Revenue											0
Physician Contributions				88,000					103,000	19,000	210,000
Transfers In						70,000		15,000			85,000
Unrestricted Donations											0
Total Revenue:	619,720	25,000	0	88,000	0	70,000		15,000	103,000	19,000	939,720
Expenses:											
Salaries	619,740							15,000	54,041	1,000	689,781
Benefits									12,500		12,500
Fellows Stipends											0
Fellows Expenses											0
Other Stipends											0
Merit and Cola 15/16											0
Merit and Cola 16/17											0
Communications		172							1,000		1,172
Conferece Travel						22,500					22,500
General Research Support				25,000							25,000
General Travel		21,470	10,000	5,000					3,200	24,480	64,150
Journal Clubs						10,000					10,000
Miscellaneous						4,651					4,651
PD/MEPA Travel						15,000					15,000
Rentals/Leasing		1,260									1,260
Residency Program						20,000					20,000
Simulation Exercises						25,000					25,000
Small Equipment						10,000					10,000
Start Up Funding for Researchers											0
Statistical/Database Services				25,000							25,000
Supplies and Services		2,554	5,000						6,723	23,345	37,622
Visiting Speakers			10,000			10,000					20,000
Total Expenses:	619,740	25,456	25,000	55,000	0	117,151	0	15,000	77,464	48,825	983,636
Net Revenue and Expense:	-20	-456	-25,000	33,000	0	-47,151	0	0	25,536	-29,825	-43,916
Flex/Beginning Balance:	0	22,340	37,035	259,421	8,435	117,151	1,800	0	341,501	38,075	825,758
Ending Balance:	-20	21,884	12,035	292,421	8,435	70,000	1,800	0	367,037	8,250	781,842

OUTLINE OF ISSUE

Agenda Title: **Academic Governance and Delegated Authority**

Motions:

Whereas at its meeting of 25 January 2016 the General Faculties Council (GFC) approved the following motions:

THAT the General Faculties Council will review the delegation of its authorities to all of its current committees, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.

and

THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report "A Reflection on the State of Academic Governance at the University of Alberta."

At its meeting of 30 May 2016, the **General Faculties Council**:

- a. approves the interim renewal of delegated authorities to all GFC standing committees until revised "Terms of Reference" modifying the delegated authorities of these committees are presented to it for its final approval on or before 30 April 2017;
- b. affirms its authority to make recommendations to the Board of Governors of the University of Alberta on any matter that it deems to be of interest to the University; and
- c. affirms its ultimate overarching authority to recall to it at any time any matter being considered by its standing committees under delegated authority;
- d. approves the creation of an *ad hoc* committee to lead, during the 2016-17 academic year, the process for the revision of the "Terms of Reference" for GFC and all of its standing committees, with "Terms of Reference" for and composition of this *ad hoc* committee to be approved by GFC at its September 2016 meeting;
- e. directs the *ad hoc* committee to bring forward to GFC its recommendations for revisions to the "Terms of Reference" for GFC and its Standing Committees addressing delegated authority for final approval on or before 30 April 2017;
- f. directs that during the 2016-17 academic year GFC meet as often as necessary between September and April to discuss and consider proposals of the *ad hoc* committee for the revision of the "Terms of Reference" of the General Faculties Council and its standing committees; and
- g. moves that until such time as the "Terms of Reference" for the General Faculties Council and its standing committees are revised, anything in the current "Terms of Reference" for the General Faculties Council or any of its standing committees not consistent with any of the above is null and void.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	GFC Executive Committee and the Academic Governance Working Group
Presenter	Duncan Elliott and Mirko van der Baan, Co-Chairs, Academic Governance Working Group
Subject	Academic Governance and Delegated Authority

Details

Responsibility	David Turpin, President and Chair, General Faculties Council
The Purpose of the Proposal is (please be specific)	<p>To provide General Faculties Council (GFC) with a recommendation from the GFC Executive Committee and Academic Governance Working Group.</p> <p>To propose a plan forward for GFC and its Standing Committees to carry on with business for the next academic year, and to forward a proposal for consideration to establish an <i>ad hoc</i> committee to continue the work and deliver a recommendation to General Faculties Council by April 30, 2017.</p> <p>Since February, the Academic Governance Working Group alongside GFC and its standing committees has been engaged in discussion about the following questions:</p> <ul style="list-style-type: none"> • Are we living up to the principles of the Committees' Mandate? • What is the desired level of clarity on delegated authority? • Is current practice matching the Mandate? • Are we striking a correct balance between full delegation and no delegation? • Are appropriate matters being referred to full GFC from standing committee? • Is this your vision of Academic Governance?
The Impact of the Proposal is	The GFC Executive Committee is recommending the proposal developed by the Academic Governance Working Group for decision by General Faculties Council at the May 30, 2016 meeting.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	<p>Recommendation to GFC on academic governance delegations and renewal - May 30, 2016</p> <p>Recommendation to GFC on revisions to Terms of Reference and delegated authority – April 30, 2017</p>
Estimated Cost	N/A
Sources of Funding	N/A
Notes	<p>On January 25, 2016, General Faculties Council approved the following motions:</p> <p><i>Motion 1: THAT General Faculties Council will review the delegation of its authorities to all of its current committee, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.</i></p>

	<p><i>Motion II: THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report “A Reflection on the State of Academic Governance at the University of Alberta”</i></p> <p>The GFC Executive Committee created the Academic Governance Working Group (AGWG) to consider how to respond to the motions. The AGWG, following several meetings, review of meeting materials and academic governance committees’ terms of reference, provided a recommendation to the GFC Executive Committee. Advice to GFC on a plan to move forward is now being presented.</p>
--	---

Alignment/Compliance

<p>Alignment with Guiding Documents</p>	<p>Institutional values (2015 Comprehensive Institutional Plan)</p> <p><i>“Our values:</i> The U of A community of students, faculty, staff, and alumni rely on shared, deeply held values that guide behaviour and actions. These values are drawn from the principles on which the University of Alberta was founded in 1908 and reflect a dynamic, modern institution of higher learning, leading change nationally and internationally.</p> <p><i>Excellence:</i> Excellence in teaching that promotes learning; outstanding research and creative activity that fuel discovery and advance knowledge; and enlightened service that builds citizenship.</p> <p><i>Student Experience:</i> The centrality of our students and our responsibility to provide an intellectually superior educational environment.</p> <p><i>Integrity and Academic Freedom:</i> Integrity, fairness, and principles of ethical conduct built on the foundation of academic freedom, open inquiry, and the pursuit of truth.</p> <p><i>Diversity and Creativity:</i> A diverse, yet inclusive, dynamic collegial community that welcomes change and seizes opportunity with passion and creativity.</p> <p><i>Pride:</i> Pride in our history and traditions, including contributions from Aboriginal people and other groups, which enrich and distinguish the university.”</p>
<p>Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please <u>quote</u> legislation and include identifying section numbers)</p>	<p>1. Post-Secondary Learning Act (PSLA)</p> <p>“Powers of general faculties council 26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and, without restricting the generality of the foregoing, has the authority to</p> <p>(a) exercise any power of a faculty council that the general faculties council considers desirable to exercise;</p> <p>(b) consider and make decisions on the reports of the faculty councils as to the programs of study in the faculties;</p> <p>(c) determine all programs of study to which clause (b) does not apply that are to be offered by the university for credit toward the requirements for any degree or diploma;</p>

Item No. 8

- (d) determine the timetables for examinations and for lectures and other instruction in each faculty;
 - (e) consider and make decisions on the reports of faculty councils as to the appointment of examiners and the conduct and results of examinations in the faculties;
 - (f) provide for the granting and conferring of degrees other than honorary degrees;
 - (g) provide for the preparation and publication of the university calendar;
 - (h) hear and determine appeals from the decisions of faculty councils on applications, requests or petitions by students and others;
 - (i) consider all matters reported to it by any faculty council and communicate its opinion or action on those matters to the faculty council concerned;
 - (j) determine the date for the beginning and end of lectures in the university and also the beginning and end of each university term;
 - (k) make rules and regulations for the management and operation of libraries;
 - (l) recommend to the board the establishment of faculties, schools, departments, chairs and programs of study in the university in any subject that the general faculties council thinks fit;
 - (m) make rules and regulations respecting academic awards;
 - (n) determine standards and policies respecting the admission of persons to the university as students;
 - (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university;
 - (p) authorize lecturing and teaching on the university premises by persons other than members of the staff of the university;
 - (q) authorize a school to have a school council of the same nature and with the same powers, duties and functions as a faculty council and, in its discretion, revoke any authority so given.
- (2) Any recommendations from the general faculties council to the board must be transmitted to the board through the president.
- (3) A general faculties council may delegate any of its powers, duties and functions under this Act, including the powers referred to in section 31, as it sees fit and may prescribe conditions governing the exercise or performance of any delegated power, duty or function, including the power of subdelegation.”

2. General Faculties Council Terms of Reference / 3. Mandate
“Powers Retained by General Faculties Council

All powers and responsibilities under Section 26 of the PSLA not expressly delegated now or in the future shall be retained by General Faculties Council. (GFC 02 DEC 1966)

The issues which remain with GFC or which would be referred by a Standing Committee to GFC would generally be in the nature of the following:

- high level strategic and stewardship policy issues or matters of significant risk to the University;
- alterations to the mandate, terms of reference, composition, or structure of a Standing Committee;

- those things which a Standing Committee considers to be of major strategic significance to or long-term impact on the University;
- those matters on which, in the opinion of a Standing Committee chair, there has been a strong division of opinion within the Standing Committee; and
- issues in which there is a lack of clarity as to which Standing Committee is responsible.

3. General Faculties Council Terms of Reference / 4. General Faculties Council Procedures

....

a) **New Committees and Ad Hoc Committees**

When GFC establishes a new committee, GFC (or delegate body) shall provide clear, explicit, and detailed terms of reference. (GFC 24 NOV 1980)

- b) **Ad Hoc Committees:** When an ad hoc committee is in doubt as to the scope of its terms of reference, it shall seek clarification and guidance from the Executive Committee of General Faculties Council. (EXEC JUN 1971)

When GFC establishes an ad hoc committee, a reporting date shall be set by the Secretary to GFC. (EXEC 03 MAY 1982)

Ad hoc committees shall be considered as being discharged once their reports are received or accepted by General Faculties Council unless the committee recommends otherwise, or General Faculties Council requests it to continue. (GFC 29 APR 1968)

4. GFC Executive Committee Terms of Reference/3. Mandate of the Committee: "To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council."

[...]

"5. Agendas of General Faculties Council

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

When ordering items, the GFC Executive Committee will be mindful of any matters that are of particular concern to students during March and April so that the student leaders who bring those items forward are able to address these items at GFC before their terms end. (EXEC 06 NOV 2006)

[...]

With respect to recommendations from other bodies and other GFC committees, however, the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back

Item No. 8

	to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment.”
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Routing (Include meeting dates)

Participation: (parties who have seen the proposal and in what capacity)	GFC Executive Committee (for discussion) – December 7, 2015 and January 11, 2016 General Faculties Council (for discussion) – January 25, 2016 GFC Executive Committee (for discussion) – February 1 and March 7, 2016 GFC Executive Committee Working Group on Academic Governance (for discussion)– February/March General Faculties Council (for discussion) – March 21, 2016 Academic Governance Working Group (for discussion) – April 2016 GFC Executive Committee (for discussion) – April 11, 2016 General Faculties Council – May 2, 2016 Academic Governance Working Group (for discussion) – May 2016 General Faculties Council Executive – May 16, 2016
Approval Route (Governance) (including meeting dates)	GFC Executive Committee – May 16, 2016 General Faculties Council – May 30, 2016
Final Approver	General Faculties Council – May 30, 2016

Attachments:

Attachment 1 (pages 1-6): Excerpt from the *Post-Secondary Learning Act*, sections 26 and 31. Complete text available at: <http://www.qp.alberta.ca/documents/Acts/p19p5.pdf>

Attachment 2: Presentation to GFC, May 30, 2016

Prepared by: Marion Haggarty-France, University Secretary, marion.haggarty-france@ualberta.ca, and Meg Brolley, GFC Secretary and Manager of GFC Services, meg.brolley@ualberta.ca, and with input from members of the Academic Governance Working Group

General Faculties Council

Composition of general faculties council

23 Each university must have a general faculties council consisting of

- (a) the following persons who are members by virtue of their offices:
 - (i) the president, who is the chair;
 - (ii) the vice-presidents;
 - (iii) the dean of each faculty;
 - (iv) the director of each school;
 - (v) the chief librarian;
 - (vi) the director of extension, or if none, the officer performing comparable functions;
 - (vii) the registrar;
- (b) the members elected under section 24 to represent the faculties and the schools that have school councils;
- (c) the following student members:
 - (i) 2 students nominated by the council of the students association;
 - (ii) if there is a graduate students association, one student nominated by the council of the association;
- (d) the members appointed from the staff and students of the university under section 25.

Elected members

24(1) The faculty council of each faculty and the school council of each school that has a school council may elect from the full-time members of the academic staff of the faculty or school the number of members to the general faculties council that may be assigned to it pursuant to subsection (2).

- (2) On the direction of the general faculties council from time to time the registrar
- (a) shall establish the total number of elected members to be on the general faculties council, which shall be twice the number of persons who are members of the general faculties council by virtue of their offices, and
 - (b) shall determine and assign to each faculty and school the number of members that may be elected by that faculty or school, which so far as is reasonably possible shall be in the same proportion to the total number of elected members as the number of full-time members of the academic staff of the faculty or school is to the total number of full-time members of the academic staff of all the faculties and schools.
- (3) A member elected under subsection (1) holds office for a term of 3 years or until the member's successor is elected.
- (4) Notwithstanding subsection (3), a member elected under subsection (1) ceases to hold office if the member ceases to be a full-time member of the academic staff of the faculty or school.
- (5) Notwithstanding subsection (3), a faculty council or school council
- (a) shall, as circumstances require, elect members to hold office for one-year or 2-year terms so as to provide overlapping terms of office for the representatives of the faculty or school, and
 - (b) may, when a member ceases to hold office before the expiry of that member's term of office, elect a new member to hold office for the remainder of the unexpired term.

Appointed members

25 The members of the general faculties council referred to in section 23(a), (b) and (c) shall appoint the appointed members of the general faculties council from the staff and students of the university, in the number and for the terms of office that the elected and student members and persons who are members by virtue of their offices determine.

Powers of general faculties council

26(1) Subject to the authority of the board, a general faculties council is responsible for the academic affairs of the university and,

without restricting the generality of the foregoing, has the authority to

- (a) exercise any power of a faculty council that the general faculties council considers desirable to exercise;
- (b) consider and make decisions on the reports of the faculty councils as to the programs of study in the faculties;
- (c) determine all programs of study to which clause (b) does not apply that are to be offered by the university for credit toward the requirements for any degree or diploma;
- (d) determine the timetables for examinations and for lectures and other instruction in each faculty;
- (e) consider and make decisions on the reports of faculty councils as to the appointment of examiners and the conduct and results of examinations in the faculties;
- (f) provide for the granting and conferring of degrees other than honorary degrees;
- (g) provide for the preparation and publication of the university calendar;
- (h) hear and determine appeals from the decisions of faculty councils on applications, requests or petitions by students and others;
- (i) consider all matters reported to it by any faculty council and communicate its opinion or action on those matters to the faculty council concerned;
- (j) determine the date for the beginning and end of lectures in the university and also the beginning and end of each university term;
- (k) make rules and regulations for the management and operation of libraries;
- (l) recommend to the board the establishment of faculties, schools, departments, chairs and programs of study in the university in any subject that the general faculties council thinks fit;
- (m) make rules and regulations respecting academic awards;
- (n) determine standards and policies respecting the admission of persons to the university as students;

- (o) make recommendations to the board with respect to affiliation with other institutions, academic planning, campus planning, a building program, the budget, the regulation of residences and dining halls, procedures in respect of appointments, promotions, salaries, tenure and dismissals, and any other matters considered by the general faculties council to be of interest to the university;
 - (p) authorize lecturing and teaching on the university premises by persons other than members of the staff of the university;
 - (q) authorize a school to have a school council of the same nature and with the same powers, duties and functions as a faculty council and, in its discretion, revoke any authority so given.
- (2)** Any recommendations from the general faculties council to the board must be transmitted to the board through the president.
- (3)** A general faculties council may delegate any of its powers, duties and functions under this Act, including the powers referred to in section 31, as it sees fit and may prescribe conditions governing the exercise or performance of any delegated power, duty or function, including the power of subdelegation.

2003 cP-19.5 s26;2009 c11 s2

Student Affairs

Student discipline

31(1) The general faculties council has general supervision of student affairs at a university and in particular, but without restricting the generality of the foregoing, the general faculties council may

- (a) subject to a right of appeal to the board, discipline students attending the university, and the power to discipline includes the power
 - (i) to fine students,
 - (ii) to suspend the right of students to attend the university or to participate in any student activities, or both, and
 - (iii) to expel students from the university;
- (b) delegate its power to discipline students in any particular case or generally to any person or body of persons, subject to any conditions with respect to the exercise of any delegated power that it considers proper;

(c) give to a student organization of the university the powers to govern the conduct of students it represents that the general faculties council considers proper.

(2) Any powers to govern the conduct of students given to a student organization pursuant to subsection (1)(c) are subject to the overriding control of the board, the president and the general faculties council.

Academic Governance Working Group Report to May 30, 2016 GFC

Duncan Elliott, Mirko van der Baan,
Carolyn Sale, Harsh Thaker, Mark Loewen, Steve Patten,
Dilini Vethanayagam, Kathleen Lowrey, Fahim Rahman

- **Timeline**
 - Status of Terms of Reference Review
- **Presentation of Motion to Respond to January 25, 2016 Motions**
 - Interim renewal of delegated authority
 - Affirmation of GFC powers
 - Creation of an *ad hoc* committee to lead Terms of Reference revisions
 - Terms of Reference revision process items
- **Next Steps**

CURRENT MOTIONS APPROVED BY GFC

GFC January 25, 2016:

- **Motion I:** THAT General Faculties Council will review the delegation of its authorities to all of its current committee, and by 30 June 2016 vote on whether to renew or revise these delegated authorities.
- **Motion II:** THAT the review of the governance and operations of the General Faculties Council is to be informed by the June 2013 report "A Reflection on the State of Academic Governance at the University of Alberta"

Historical Context

- 1942 Universities Act - GFC granted legislative authority over academic matters
- 1966 revisions to Universities Act - alters structure of GFC - ad hoc Committee on Procedures struck
- 1973 - Report of the Committee to Study the Role of GFC
- 1980 - Report of the ad hoc Committee on GFC committees and procedures
- 1981 - review of standing committees by Executive Assistant to President with a view to streamlining committee structure
- 1991 - GFC Executive presents review findings on GFC's size, format, effectiveness
- 1994 - GFC Executive report and recommendations on governance issues and GFC committee structure
- 1996 - "Governance Review: Final Stage" Report approved by GFC
- 2004 - Dimond report on unification of Board/GFC support functions

TIMELINE

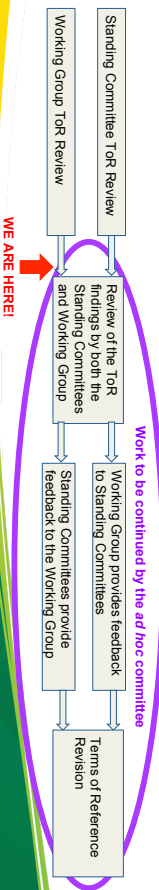
- **January 25, 2016** - Motions made re: Review/Revise Standing Committee Delegations
- **February 2016** - Academic Governance Working Group (AGWG) struck - *no formal or delegated authority*
- Improvements made to visibility and transparency
 - Information reports to GFC, name tent cards at meetings, posting past meeting materials remaining on web, [notification sign-up](#), etc.)
- **March 2016** - Review of Standing Committee Terms of Reference starts - *independent* reviews by AGWG and Committees
- **May 2, 2016** - Discussion of GFC's Terms of Reference with full GFC

TIMELINE

- **May 30, 2016** - Motions before GFC
 - Interim renewal of delegated authority
 - Affirmation of GFC powers
 - Creation of an *ad hoc* committee to lead Terms of Reference revisions
 - Terms of Reference revision process items

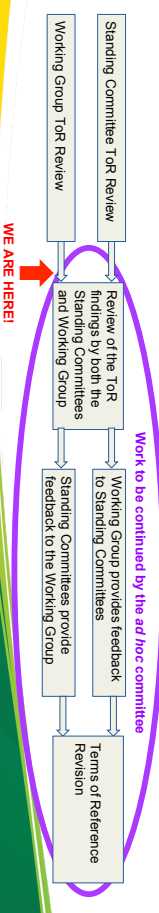
STATUS OF TERMS OF REFERENCE REVIEW

- Standing Committees (except Replenishment) have completed their reviews
- Review criteria:
 - Are the parameters of the current Terms of Reference up to date?
 - Is the current practice following the Terms of Reference?
 - Are there any recommendations for facilitating and enhancing governance beyond the Terms of Reference?



STATUS OF TERMS OF REFERENCE REVIEW

- *Time* is essential for a thorough review of the Terms of Reference
- As reported previously, there is wide variety of discoveries have arisen from the reviews:
 - Overlaps in Terms of Reference between Standing Committees
 - Editorial changes
 - Out of date processes (pre-Internet practices)
 - Questions about composition



PRESENTATION OF MOTION

- AGWG presented advice to GFC EXEC, who are recommending the following motion (AGWG rationales provided for context):

THAT the General Faculties Council:

- a) approves the interim renewal of delegated authorities to all GFC standing committees until revised “Terms of Reference” modifying the delegated authorities of these committees are presented to it for its final approval on or before 30 April 2017;

Rationale: Respects the motions passed by GFC on January 25, 2016 and extends the deadline for Terms of Reference revision to April 30, 2017 ensuring we sufficient time to do a proper job

PRESENTATION OF MOTION

- b) affirms its authority to make recommendations to the Board of Governors of the University of Alberta on any matter that it deems to be of interest to the University; and

Rationale: Affirms a core principle relevant to the work of the GFC as a whole and the proposed *ad hoc* committee.

- c) affirms its ultimate overarching authority to recall to it at any time over any matter being considered by its standing committees while acting with GFC delegated authority;

Rationale: Affirms a core principle relevant to the work of the GFC as a whole and the proposed *ad hoc* committee.

PRESENTATION OF MOTION

- d) approves the creation of an *ad hoc* committee, over the 2016-17 academic year, to lead the process for the revision of the “Terms of Reference” for GFC and all of its standing committees, with “Terms of Reference” for and composition of this *ad hoc* committee to be approved by GFC at its September 2016 meeting;

Rationale: An *ad hoc* committee needs to be established to empower it with authority from GFC to do the work required. The AGWG has no formal or delegated authority to do any work. The *ad hoc* committee’s Terms of Reference will be drafted by the AGWG in consultation with governance staff and all previous work will be provided to the *ad hoc* committee to inform their work.

PRESENTATION OF MOTION

- e) directs the *ad hoc* committee to bring forward its recommendations for revisions to the “Terms of Reference” for GFC and its Standing Committees addressing delegated authority to GFC for final approval on or before 30 April 2017;

Rationale: Clarifies the core purpose and objective of the *ad hoc* committee (to be reflected in its Terms of Reference).

PRESENTATION OF MOTION

- f) directs that during the 2016-17 academic year GFC meet as often as necessary between September and April to discuss and consider proposals of the *ad hoc* committee for the revision of the “Terms of Reference” of the General Faculties Council and its standing committees; and

Rationale: Reminder to GFC of the importance of this work and that the *ad hoc* committee’s processes will require ongoing consultation with full GFC, which may require additional meetings throughout the academic year.

PRESENTATION OF MOTION

- g) moves that until such time as the “Terms of Reference” for the General Faculties Council and its standing committees are revised, anything in the current “Terms of Reference” for the General Faculties Council or any of its standing committees not consistent with any of the above is null and void.

Rationale: Confirmation that the principles and processes being set in this motion are now policy that overrides any policy and processes previously passed by GFC.

PRESENTATION OF MOTION

- THAT the General Faculties Council:**
- approves the interim renewal or delegated authorities to all GFC standing committees until revised “Terms of Reference” modifying the delegated authorities of these committees are presented to it for its final approval on or before 30 April 2017;
 - affirms its authority to make recommendations to the Board of Governors of the University of Alberta on any matter that it deems to be of interest to the University; and
 - affirms its ultimate overarching authority to recall to it at any time over any matter being considered by its standing committees while acting with GFC delegated authority;
 - approves the creation of an *ad hoc* committee, over the 2016-17 academic year, to lead the process for the revision of the “Terms of Reference” for GFC and all of its standing committees, with “Terms of Reference” for and composition of this *ad hoc* committee to be approved by GFC at its September 2016 meeting;
 - directs the *ad hoc* committee to bring forward its recommendations for revisions to the “Terms of Reference” for GFC and its Standing Committees addressing delegated authority to GFC for final approval on or before 30 April 2017;
 - directs that during the 2016-17 academic year GFC meet as often as necessary between September and April to discuss and consider proposals of the *ad hoc* committee for the revision of the “Terms of Reference” of the General Faculties Council and its standing committees; and
 - moves that until such time as the “Terms of Reference” for the General Faculties Council or any of its standing committees are revised, anything in the current “Terms of Reference” for the General Faculties Council or any of its standing committees not consistent with any of the above is null and void.

NEXT STEPS

- AGWG prepares for **transition of materials to *ad hoc* committee**
- Summer 2016** - Preparation of draft *ad hoc* committee Terms of Reference, including composition
- September 2016 GFC Meeting** - Creation of *ad hoc* committee to revise GFC’s
 - Filling of positions on *ad hoc* committee - **if you are interested in this governance renewal work, please put your name forward!**
- Ongoing education** of GFC members on their roles and responsibilities
- 2016-17 Academic Year** - Revision of GFC’s and its Standing Committees’ Terms of Reference by *ad hoc* committee
- April 30, 2017** (on or before) - Revised Standing Committee Terms of Reference presented to GFC for adoption

OUTLINE OF ISSUE

Agenda Title: **Teaching and Learning and Teaching Evaluation and the Use of the Universal Student Ratings of Instruction (USRI) as an Evaluative Tool**

Preamble:

A Notice of Motion was submitted by a member of GFC regarding the use of USRIs (see Attachment 1). This item was discussed by the GFC Executive Committee who agreed that this is an important issue but that it would benefit from a wider review. As such, the GFC Executive Committee recommends a modification which extends the original motion to include not only the review of how USRIs might be modified, augmented, or possibly replaced, but also considers the development and implementation of a more robust solution to teaching assessment and evaluation.

Motion: THAT the General Faculties Council, on the recommendation of the GFC Executive Committee, request that the GFC Committee on the Learning Environment report by 30 April 2017, on research into the use of student rating mechanisms of instruction in university courses. This will be informed by a critical review of the University of Alberta’s existing Universal Student Ratings of Instruction (USRIs) and their use for assessment and evaluation of teaching as well as a broad review of possible methods of multifaceted assessment and evaluation of teaching. The ultimate objective will be to satisfy the Institutional Strategic Plan: For the Public Good strategy to: Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, non-discriminatory, and meaningful across disciplines.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Steven Dew, Provost and Vice-President (Academic)
Presenter	Steven Dew, Provost and Vice-President (Academic)
Subject	Teaching and Learning and Teaching Evaluation and the use of the Universal Student Ratings of Instruction (USRI) as an evaluative tool

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The Provost’s Office supports the idea of examining the USRIs, but would like to undertake this task with a broader consideration of how USRIs might be modified, augmented, or possibly replaced over time. Since the GFC Policy 111 specifies required use of the USRIs as a means of achieving instructor feedback from students, the USRIs cannot be simply removed without a replacement. Additionally, as specified in the GFC Policy 111, there must be multifaceted assessment and evaluation of teaching and while this exists in some areas, it is not being carried out throughout the university. Thus a broader approach to this problem would support the development and implementation of a more robust solution to teaching assessment and evaluation.
The Impact of the Proposal is	An examination of both the USRI and the need for multifaceted review of teaching will lead to rescission of the current GFC Policy 111 and creation of a new UAPPOL policy to support teaching and learning and teaching assessment and evaluation. Recommendations on the rescission of the GFC Policy 111 and creation of new UAPPOL policy to support Teaching, Learning and Teaching Evaluation will come forward

	to GFC for approval.
Replaces/Revises (eg, policies, resolutions)	N/A
Timeline/Implementation Date	April 30, 2017
Estimated Cost	N/A
Sources of Funding	N/A
Notes	Both GFC policy and collective agreements mandate that there must be a student evaluation of teaching. Currently the USRI fills this role and it could not be discontinued without an appropriate replacement.

Alignment/Compliance

Alignment with Guiding Documents	<p>Institutional Strategic Plan: For the Public Good “OBJECTIVE: Inspire, model, and support excellence in teaching and learning. [...] iii. Strategy: Provide robust supports, tools, and training to develop and assess teaching quality, using qualitative and quantitative criteria that are fair, equitable, and meaningful across disciplines.”</p>
Compliance with Legislation, Policy and/or Procedure Relevant to the Proposal (please quote legislation and include identifying section numbers)	<p>1. Post-Secondary Learning Act (PSLA): The PSLA gives GFC responsibility, subject to the authority of the Board of Governors, over academic affairs (Section 26(1)).</p> <p>2. General Faculties Council Terms of Reference (4. GFC Procedures)</p> <p>“Notice of Motion A Notice of Motion is a method of informing the membership in advance of the intention to make a specific motion.</p> <p>When Notice of Motion has first been given at a GFC meeting, the GFC Executive Committee will decide whether it is appropriate that such a motion be placed on the Agenda of the next GFC meeting.”</p> <p>3. GFC Executive Committee Terms of Reference (3. Mandate of the Committee)</p> <p>“5. Agendas of General Faculty Council GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda.”</p> <p>4. GFC Committee on the Learning Environment (CLE) Terms of Reference (3.Mandate of the Committee):</p> <p>“The Committee on the Learning Environment is a standing committee of the General Faculties Council that promotes an optimal learning environment in alignment with guiding documents of the University of Alberta.</p> <p>The Committee on the Learning Environment is responsible for making recommendations concerning policy matters and action matters with respect to the following: [...] b) To review and, as necessary, recommend to the GFC Academic Planning</p>

Committee and GFC Executive Committee as relates to the development and implementation of policies on teaching, learning, teaching evaluation, and recognition for teaching that promote the University Academic Plan.

c) To develop policies that promote ongoing assessment of teaching and learning through all Faculties and units.

d) To nurture the development of innovative and creative teaching practices.

e) To encourage the sharing and discussion of evidence about effective teaching and learning.

f) To encourage the sharing and discussion of evidence about effective teaching, learning, and the services.

g) To promote projects with relevant internal and external bodies that offer unique teaching and learning opportunities that would benefit the university community.

h) To consider any matter deemed by the GFC Committee on the Learning Environment to be within the purview of its general responsibility.

5. GFC policy 111 Teaching and Learning and Teaching Evaluation

“111.2 Teaching Evaluation

1. Evaluation of teaching at the University of Alberta serves two purposes:

a. Summative – Evaluation provides a review and overview of an instructor’s teaching that is an essential element in promotion and tenure decisions. In its summative form, teaching evaluation forms a basis for rewarding excellence, as well as the basis for withholding reward.

b. Formative – Evaluation provides helpful feedback to teachers by identifying teaching strengths and weaknesses and, in so doing, giving guidance for the improvement or refinement of teaching skills.

2. Evaluation of teaching must be multifaceted. Multifaceted evaluation shall include the Universal Student Ratings of Instruction set out in Section 111.3 and other methods of assessing teaching designed within individual Faculties to respond to the particular conditions of that Faculty. Such assessments shall include one or more of the following: input from administrators, peers, self, undergraduate and graduate students, and alumni.

3. Recognizing that the evaluation of teaching at the University shall be multifaceted, Faculty Evaluation Committee (FEC) decisions concerning tenure, promotion or unsatisfactory teaching performance must be based on more than one indicator of the adequacy of teaching.

4. Assessment of teaching involving input from administrators, peers, self, alumni, or undergraduate and graduate students in addition to the Universal Student Ratings of Instruction should occur annually prior to tenure. For continuing faculty (ie, Categories A1.1, A1.5 and A1.6), such assessment will occur at least triennially.

5. The University shall continue to support University Teaching Services in its education programming which is focused on the development and improvement of teaching and learning and its efforts to enhance research in university teaching.

111.3 Universal Student Ratings of Instruction

In recognition of the University's commitment to teaching, the General Faculties

Council endorses a system of Universal Student Ratings of Instruction. This system, however, is only one part of the multi-faceted approach described in Section 111.2.

The Universal Student Ratings of Instruction are administered electronically via a system known as the eUSRI system.

The Universal Student Ratings of Instruction are designed to provide a minimal university-wide base of information on student ratings to the parties listed in this Section. With this purpose in mind, the General Faculties Council adopts the following policies:

A. All Faculties will ensure that evaluation of all instructors and courses will take place each time a course is offered. The term 'instructors' is meant to include tenured professors, tenure-track professors, sessional instructors, clinical instructors, field supervisors and graduate teaching assistants with responsibilities for courses.

[...]

D. The anonymity of student responses to the Universal Student Ratings of Instruction is of fundamental importance in maintaining student confidentiality and encouraging the free expression of views. Under normal circumstances, the anonymity of students will be protected. Universal Student Ratings of Instruction offer an avenue of feedback, including feedback critical of instructors.

[...]

G. The numerical summaries for the ten Universal Student Ratings of Instruction questions will be reported to the instructor, the Chair, Director or Dean and students.

[...]

I. All results given out to students, Chairs, Directors and Deans will have the following cautionary preface:

Student questionnaires form an important part of evaluating teaching effectiveness but cannot be taken alone as a complete assessment of an instructor or course. Factors other than an instructor's teaching ability may influence ratings. These factors include class size, class level, Faculty, time in class, required versus optional course, grade expectations, student GPA, gender, race, ethnicity, age of both students and instructors.

[...]

J. Nothing in this section will prevent instructors from seeking other means of feedback from students during the term."

The full GFC Policy 111 Teaching and Learning and Teaching Evaluation is available at:

<http://www.gfcpolicymanual.ualberta.ca/111TeachingandLearningandTeach.aspx>

5. University of Alberta Faculty Agreement July 2006 (incorporating June 2007 and July 2008 amendments)

"13.06 The standards for evaluation of teaching performance shall be broadly based, including course content, course design and performance in the classroom. Such evaluation may take into account information such as statistical summaries of responses to student questionnaires, comprehensive reviews of student commentary; reviews by peers, reviews by administrative officials and reviews of teaching dossiers and other materials provided by the staff member."

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Routing (Include meeting dates)

<p>Participation: (parties who have seen the proposal and in what capacity)</p> <ul style="list-style-type: none"> • Those who have been informed • Those who have been consulted • Those who are actively participating 	<p>Notice of Motion from GFC member to President Office of the Provost and Vice-President (Academic) Sarah Forgie, Chair, GFC Committee on the Learning Environment GFC Executive Committee – May 16, 2016</p>
<p>Approval Route (Governance) (including meeting dates)</p>	<p>GFC Executive Committee – May 16, 2016 General Faculties Council – May 30, 2016</p>
<p>Final Approver</p>	<p>General Faculties Council</p>

Attachments (each to be numbered 1 - <>)

1. Attachment 1: (page 1) email Notice of Motion from GFC member Carolyn Sale, May 9, 2016

Prepared by: Wendy Rodgers, Deputy Provost and Sarah Forgie, Vice-Provost (Learning Initiatives) with the assistance of Meg Brolley, GFC Secretary and Manager of GFC Services, brolley@ualberta.ca

From: Carolyn Sale <sale@ualberta.ca>
Date: May 9, 2016 at 3:11:31 PM MDT
To: David Turpin <dturpin@ualberta.ca>
Subject: Motion for GFC's Meeting of 30 May 2016

Dear President Turpin,

I write to ask that the following motion be added to the agenda of the meeting of the General Faculties Council on 30 May 2016:

The General Faculties Council directs that its Committee on the Learning Environment provide it, by 30 April 2017, with a report on research into the use of student rating mechanisms for the instruction in university courses and its recommendations in relation to the University of Alberta's existing Universal Student Ratings of Instruction (USRIs) so that the General Faculties Council may determine whether it wishes or on what terms it will continue to endorse the use of USRIs at the University of Alberta.

Background for Request

The paperwork for the report from the Committee on the Learning Environment that GFC received at its January meeting on the introduction of the e-USRIs noted that GFC's policy on the use of Universal Student Ratings of Instruction was first introduced over twenty years ago, in 1995. During the intervening years there have been a great many changes to the academy; and during the last few years, the last year or so especially, there have been many reports on research into such instruments that suggest that they tend to function in inequitable and even discriminatory ways. I would therefore very much like to see the General Faculties Council's Committee on the Learning Environment review this research and report on it to GFC, and to provide at that time its recommendations for any changes to the USRIs that would be appropriate or indeed necessary if the General Faculties Council is to continue to endorse their use.

Timing of Request

I put this forward motion now rather than in the Fall for two reasons: so that the expertise of any member of the CLE whose term may be ending at June 30th may be captured on this issue to assist with the committee's work next year; and to assist the University in getting out ahead of a policy document that is scheduled to come forward to the Council of the Canadian Association of University Teachers (CAUT) in the Fall. I would like the General Faculties Council to be positioned to take an informed decision next year on what about our current USRIs would need to change if the GFC were to continue to endorse them.

It is my understanding that there was some work done by the Committee on the Learning Environment on this front six years ago in 2010, but it is time for the committee to do further work on this issue in light of the research on these instruments that has emerged during the last couple of years. Only with that work can the General Faculties Council proceed to informed decision-making on this important matter.

Yours sincerely,
Carolyn

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Carolyn Sale
Associate Professor, Department of English & Film Studies
Vice-President, Association of Academic Staff University of Alberta (AASUA)
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Edmonton, Alberta
Canada T6G 2E5
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