



GENERAL FACULTIES COUNCIL
AGENDA

Meeting #623, June 8, 2023, 1:30 p.m.

ST 147 (Science Theatres)

Item	Description	Presenter	Materials	Estimated Time
1.	Conflict of Interest Declaration	McCauley	Verbal	1:30
2.	Inclusive Practice Moment	Romaniuk ¹	PowerPoint	
3.	Safety Moment	Davies ²	PowerPoint	
4.	Remarks of the Chair	McCauley	Verbal	
5.	Remarks of the Vice-Chair	Werthner	Verbal	
6.	Question Period	McCauley	Verbal	
	Action Items			
7.	Approval of the May 11, 2023 Meeting Minutes	McCauley	Document	
8.	Approval of Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity	Book ³ /Wigham ⁴	Document	2:00
9.	Approval of the Strategic Plan – Ahead of Tomorrow	McCauley/Werthner/ Hamilton ⁵ /Hogan ⁶	Document + PowerPoint	2:10
10.	Elections: <ul style="list-style-type: none"> One Academic Staff Member of GFC to the GFC Executive Committee Two Academic Staff Members to the ASC for a Dean of the Faculty of Law Two Academic Staff Members to the ASC for a Dean of Engineering (note: the elections will be held using an electronic form immediately following the meeting)	McCauley/McVie	Document	2:55
	Information Items			
11.	University Calendar Software Update (CourseDog)	Dambrowitz ⁷	PowerPoint	3:00
12.	Global Engagement Plan Progress Report/ International Research Update	In Package Only	Documents	3:15

Item	Description	Presenter	Materials	Estimated Time
13.	Innovation Ecosystem Update	In Package Only	Document	
14.	Standing Reports: a) Report on the May 17, 2023 GFC Executive Committee Meeting b) Report on the May 1 and 15, 2023 Academic Planning and Priorities Committee Meetings c) Report on the May 16, 2023 Teaching and Learning Committee Meeting d) Report on the May 26, 2023 Board of Governors Meeting	In Package Only	Documents	
15.	Other Business	McCauley		
16.	Adjournment Next meeting: October 5, 2023 (via Zoom)	McCauley	Verbal	3:15

Regrets and Questions: Elizabeth Sjogren, Governance Coordinator

Email: esjogren@ucalgary.ca

Courtney McVie, University Secretary

Email: cmluimes@ucalgary.ca

GFC Information: <https://www.ucalgary.ca/secretariat/general-faculties-council>

Presenters

1. Mary-Jo Romaniuk, Vice-Provost (Libraries and Cultural Resources)
2. Mark Davies, Director - Environmental Health and Safety
3. Deborah Book, Legal Counsel
4. Anne Wigham, Protected Disclosure and Research Integrity Advisor
5. Kate Hamilton, Associate Vice-President (Strategy and Performance), Office of the President
6. Corey Hogan, Associate Vice-President (Communications) and Chief Communications Officer, Office of Advancement
7. Amy Dambrowitz, Registrar

The draft Minutes are intentionally removed from this package.

Please see the approved Minutes [uploaded separately on this website](#).



**UNIVERSITY OF
CALGARY**

**GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE - For Approval**

SUBJECT: Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity

MOTION:

That the General Faculties Council (GFC) approve the revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity, in the forms provided to the GFC and as recommended by the Research and Scholarship Committee.

PROPOSERS/PRESENTERS:

Anne Wigham, Protected Disclosure Advisor
William Ghali, Vice-President (Research)
Deborah Book, Legal Counsel

REQUESTED ACTION

The General Faculties Council is asked to approve the proposed revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity.

KEY CONSIDERATIONS/POINTS

Over the past few years we have identified opportunities to improve the approach to Research Integrity at the University. Many of these were implemented promptly through operational or process revisions while we considered and reflected on policy updates. We are now moving forward with proposed revisions to incorporate recent changes to Tri-Council Standards and incorporate adjustments to continuously improve our process after reflecting on lessons learned from experiences across the U15 research community.

RISKS

The proposed revisions will reduce the risk of non-compliance with requirements, including Tri-Council Standards and legal standards, in resolving Research Integrity concerns.

RESOURCE REQUIREMENTS

The proposed revisions are not anticipated to have any budget implications.

ROUTING AND PERSONS CONSULTED

The following have been invited to provide feedback on the proposed revisions:

- The University of Calgary Faculty Association (TUCFA)
- Alberta Union of Provincial Employees (AUPE)
- Management and Professional Staff (MaPS) Executive Committee

- Graduate Students' Association (GSA)
- Deans' Council
- Conjoint Faculties Research Ethics Board (CFREB)
- Conjoint Health Research Ethics Board (CHREB)
- Faculty of Graduate Studies (FGS)
- Equity, Diversity and Inclusion (EDI) Lens Review
- Indigenous Lens Review
- Mental Health Lens Review

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	Research and Scholarship Committee	April 20, 2023			X	
	General Faculties Council Executive Committee	April 28, 2023			X	
	General Faculties Council	May 11, 2023			X	
	Research and Scholarship Committee	May 18, 2023 (electronic vote)		X		
X	General Faculties Council	June 8, 2023	X			
	Board of Governors	June 23, 2023				X

NEXT STEPS

If approved the revised documents will be posted on the University's policy website and presented to the Board of Governors for Information.

SUPPORTING MATERIALS

Proposed revised Research Integrity Policy and Procedure, and blackline showing changes to current.



Research Integrity Policy

Classification Research	Table of Contents
Approval Authority General Faculties Council	1 Purpose 1
Implementation Authority Vice-President (Research)	2 Scope 1
Effective Date December 12, 2014	3 Definitions 1
Last Revision N/A	4 Policy Statement 3
	5 Responsibilities 7
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1 Purpose

The purpose of this policy is to:

- a) promote integrity in Research;
- b) ensure compliance with applicable law;
- c) ensure that Research is conducted in accordance with the University's expectations for ethical conduct; and
- d) promote an awareness of Research ethics within the University community.

2 Scope

This policy applies to Research that:

- ~~a) is conducted by University Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, or Students;~~
- ~~b) is undertaken and any other person who conducts Research~~ under the auspices of, or in Affiliation with, the University; ~~or~~
- b) uses University equipment, facilities, space, resources, Employees, Postdoctoral Scholars, or Students.

This policy and the related procedure apply to concerns about allegedly improper use of Intellectual Property only to the extent that the alleged use constitutes a breach of this policy.

3 Definitions

In this policy:

- a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under the collective agreement between The University of Calgary Faculty Association and the Governors of the University of Calgary.

- a) b) “Affiliation” means a close connection or formal relationship as defined and interpreted by Tri-Council.
- b) c) “Affiliate” means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.
- c) d) “Animal” means any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms used for Research, teaching, breeding, or testing purposes.
- d) e) “Animal Care Committee” means the University Animal Care Committee, the Health Sciences Animal Care Committee, the Life and Environmental Sciences Animal Care Committee or the Veterinary Sciences Animal Care Committee.
- e) f) “Conflict of Interest” means activities or situations that may place an individual in a real, potential or perceived conflict between their duties or responsibilities related to Research, and personal, University or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates. This definition of Conflict of Interest is as defined and interpreted by Tri-Council in the Tri-Agency Responsible Conduct of Research Framework.
- f) g) “Employee” means an individual who is engaged to work for the University under an employment contract or collective agreement.
- g) h) “Human” or “Humans” means Human Participants, or human beings or biological materials, as well as human embryos, fetuses, fetal tissue as defined, reproductive materials, and stem cells. This applies to materials derived from living and deceased individuals.
- h) i) “Human Participants” are individuals whose data, biological materials, or responses to interventions, stimuli or questions by a Researcher, are relevant to answering the Research question(s).
- i) j) “Indigenous Peoples” means the definition of Indigenous Peoples provided by the Tri-Council Policy Statement: on Ethical Conduct for Research Involving Humans: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Métis descent and their communities.
- j) k) “Research” means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.
- k) l) “Researcher” means an individual, who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.
- l) m) “Research Ethics Board” means the Conjoint Faculties Research Ethics Board (CFREB) and/or the Conjoint Health Research Ethics Board (CHREB).
- m) n) “Postdoctoral Scholar” means an individual who has completed a doctoral degree and is carrying out Research at the University under the direction or mentorship of a supervising academic staff member.
- n) o) “Student” means an individual registered in a University course or program of study.

m)p) “Tri-Council” and “Tri-Agency” means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).

q) “University” means the University of Calgary.

4 Policy Statement

- 4.1** All Research at the University will be conducted in accordance with the Tri-Council Policy Statements, ~~including the *Tri-Agency Framework: Responsible Conduct of Research (as revised from time to time)*~~ as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.
- 4.2** Deans, Department Heads or the Director of the academic unit will ensure that their Researchers:
- understand their responsibilities under this policy;
 - receive appropriate training through Research Services or other appropriate sources in the skills necessary for the ethical conduct of Research. This may include Tri-Council or other reputable training on Research ethics, compliance, safety, or Research security; and
 - are aware of and comply with applicable law, ethical and professional standards, guidelines and policies and contractual obligations relevant to the Research.
- 4.3** Individuals who undertake Research will be thoroughly familiar with and will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.

Responsible Conduct of Research

- 4.4** Researchers will strive to follow the best Research practices honestly, accountably, openly and fairly in the search for and in the dissemination of knowledge. In addition, Researchers will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.
- At a minimum, Researchers are responsible for the following:
- using a high level of rigour in proposing and performing Research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings;
 - keeping complete and accurate records of data, methods and findings, including graphs and images, in accordance with the applicable funding agreement, University policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of ~~the~~their work by others;
 - referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methods, findings, graphs and images;
 - including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their

- respective contributions, and authorship policies of relevant ~~publications~~publishers;
- e) acknowledging, in addition to authors, all contributors and contributions to Research, including writers, funders and sponsors; and
 - f) reporting and managing any real, potential or perceived Conflict of Interest in accordance with any applicable policies and procedures.

Research Involving Humans

- 4.5 Research involving Humans will be conducted in accordance with the *Tri- Council Policy Statement: Ethical Conduct for Research Involving Humans*, ~~as revised from time to time as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.~~
- 4.6 ~~Research involving Indigenous Peoples will be conducted in accordance with the principles of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* and the United Nations Declaration on the Rights of Indigenous Peoples.~~
- 4.7 ~~Research proposals involving Humans will be reviewed by a Research Ethics Board when required by Tri-Council guidelinesPolicy. In some cases, a Research proposal may need to be reviewed by more than one Research Ethics Board.~~
- 4.7.8 ~~The University may authorize its Research Ethics Board(s) to accept ethics reviews undertaken by an external research ethics board. For greater than minimal risk research ethics reviews undertaken by an external ethics board may only be accepted where such authorization is based on an official, cross-institutional agreement.~~
- 4.8.9 ~~Research protocols involving Humans will not be undertaken if the protocol has not received formal ethics approval by the appropriate Research Ethics Board. This prohibition includes:~~
- a) ~~publication, advertising, any recruitment or interaction with Human Participants, their tissues and written/or their data, collection and ~~oral/or analyses of data,~~ presentation;~~
 - b) ~~a) dissemination of data; the use of services, facilities, and space at the University and at an Affiliated organization; ~~and/or~~~~
 - c) ~~b) spending funds.~~
- ~~Note: Accounts may be opened and funds may be spent for administrative purposes only.~~
- 4.9 ~~A Researcher may request reconsideration of an interim decision made by a Research Ethics Board.~~
- ~~Absent formal ethics approval by the appropriate Research Ethics Board, Research accounts may be opened and funds may be spent only in accordance with Research Accounting guidelines for early release of funds.~~
- 4.10 A Researcher who is a principal investigator may appeal a decision made by a Research Ethics Board to the Research Ethics Appeal Board.
- 4.11 The Research Ethics Appeal Board will maintain procedures governing the conduct of appeal hearings.

Research Involving Animals

- 4.12** Research involving the use of Animals and tissues derived from Animals will be conducted in accordance with applicable laws and regulations and the University's ethical standards for Animal research and will adhere to:
- a) the Canadian Council on Animal Care (CCAC) guidelines, policies and standards;
 - b) the Canadian Association of Laboratory Animal Medicine (CALAM)/ACMAL Standards of Veterinary Care; and
 - ~~c) Standards of Veterinary Care; and~~
 - ~~d) the Alberta Veterinary Medical Association (AVMAABVMA) professional codes and standards;~~
 - ~~e) as revised from time to time.~~
- 4.13** Animals and tissues derived from Animals are only to be used for Research purposes when there is a reasonable expectation of obtaining knowledge that will benefit people or Animals.
- 4.14** For Research involving Animals and tissues derived from Animals the University will also consider compliance with the requirements of other organizations on a project-by-project basis provided that these do not diminish or lessen the standards of care and conduct that would otherwise apply.
- 4.15** The appropriate Animal Care Committee will review the ethics of proposed teaching, Research or testing involving Animals and tissues derived from Animals.
- 4.16** The appropriate Animal Care Committee will determine if the proposed protocols comply with applicable law. If the Animal Care Committee finds that they are compliant, the protocols will be approved by the Animal Care Committee.
- 4.17** Findings of the Animal Care Committee may be appealed to the Vice-President (Research).
- 4.18** Research protocols involving Animals and tissues derived from Animals will not be undertaken if the protocols have not received formal ~~ethical~~ethics approval by the appropriate Animal Care Committee. This prohibition includes:
- a) ~~publication, advertising, any interaction involving Animals their tissues and written/or their data, collection and oral/or analyses of data,~~ presentation/dissemination of data;
 - b) the use of services, facilities, and space at the University and at an Affiliate organization; and
 - c) spending funds.
- ~~Note: Accounts may be opened and funds may be spent for administrative purposes only.~~
- Absent formal ethics approval by the appropriate Animal Care Committee, Research accounts may be opened and funds may be spent only in accordance with Research Accounting guidelines for early release of funds.
- 4.19** The University will acquire and maintain only the number and type of Animals that can be accommodated in existing facilities in accordance with applicable law.

- 4.20** Approval of a protocol, authorization of a Research grant, or receipt of a contract does not guarantee that the University will be able to acquire, house, and care for the Research or laboratory Animals specified under the terms of the project if, at the time the work is to proceed, the capacity of the University's facilities is otherwise fully utilized or space is unavailable.

**Breach of Research Integrity
Conduct of Research**

- 4.21** A breach of Research integrity includes, but is not limited to, the following:
- a) *Fabrication*: Making up data, source material, methods or findings, including graphs and images.
 - b) *Falsification*: Manipulating, changing, or omitting data, source material, methods or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.
 - c) *Destruction of Research records*: The destruction of one's own or another's Research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, University policy and/or laws, regulations and professional or disciplinary standards.
 - d) *Plagiarism*: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methods or findings, including graphs and images, as one's own, without appropriate referencing and, if required, permission.
 - e) *Redundant publications*: The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.
 - f) *Invalid authorship*: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.
 - g) *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.
 - h) *Failure to declare Conflict of Interest*: Failure to declare any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.
 - i) *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

Funding Applications

- 4.22** It is a breach of Research integrity to make a misrepresentation in a funding application or related document, including:
- a) providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report;
 - b) applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other Research or Research funding organization world-wide for

- reasons of breach of responsible conduct of Research policies such as ethics, integrity or financial management policies; or
- c) the listing of co-applicants, collaborators or partners without their agreement.

Management of Funds

- 4.23** With respect to Research funds, it is a breach of Research integrity to:
- a) provide incomplete, inaccurate or false information in a grant, award, or other funding application or related document;
 - b) use sponsored Research funds for purposes inconsistent with the policies of the funding agency;
 - c) misappropriate sponsored Research funds;
 - d) contravene the financial policies of the funding agency; or
 - e) provide incomplete, inaccurate or false information on documentation for expenditures from sponsored Research accounts.

Policies and Ethics Approvals

- 4.24** It is a breach of Research integrity to fail to meet funding agency policy requirements or to fail to comply with relevant policies, laws or regulations.
- 4.25** For certain types of Research activities, including Research involving Humans, Animals, or biohazards, it is a breach of Research integrity to fail to obtain the appropriate approvals, permits or certifications before conducting these Research activities.

Responsibility to Report Breaches of Research Integrity

- 4.26** Every person that is subject to the policy who has reasonable grounds to believe that a breach of Research integrity is occurring or has occurred shall promptly report the matter, in writing, to the Protected Disclosure Advisor, in accordance with the Procedure for Investigating a Breach of Research Integrity.

Violations

- 4.264.27** Violations of this policy will be managed in accordance with the procedure established and maintained by the Vice-President (Research), specifically under the Procedure for Investigating a Breach of Research Integrity.
- 4.274.28** Individuals found to have violated this policy may lose the privilege of conducting Research and may also be subject to penalties or discipline under University policies and procedures, applicable collective agreements and applicable law.

Records

- 4.284.29** Research data and records will be kept in accordance with the University's established record retention rules.

5 Responsibilities

- 5.1** Researchers will:
- a) become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;

- b) comply with this policy and applicable law, ethical and professional standards, guidelines and contractual obligations for their Research projects;
 - c) ensure that all Research they are involved with complies with this policy, applicable law, ethical and professional standards, guidelines and contractual obligations; and
 - d) complete the Annual Financial and Compliance and Eligibility Certificate form.
- 5.2** Deans, Department Heads and Directors of academic units will:
- a) become familiar with the requirements of this policy and the Procedure for Investigating a Breach of Research Integrity;
 - b) ensure that Researchers in their faculty, department or unit understand their responsibilities under this policy;
 - c) ensure Researchers in their faculty, department or unit receive appropriate training through Research Services or other appropriate sources (e.g. TCPS CORE Tutorial, CITI training modules) in the skills necessary for the ethical conduct of Research; and
 - d) ensure Researchers in their faculty, department or unit are aware of applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.
- 5.3** Research Services will:
- a) provide appropriate support and training for Researchers relating to the ethical conduct of Research; and
 - b) provide guidance to Researchers on applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.
- 5.4** CFREB will:
- a) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
 - b) approve a protocol with or without modifications or reject a protocol.
- 5.5** CHREB will:
- a) review any Research proposal from Researchers Affiliated with the faculties of Kinesiology, Medicine and Nursing;
 - b) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
 - c) approve a protocol with or without modifications or reject a protocol.
- 5.6** Each Animal Care Committee will:
- a) review any Research proposal involving Animals or tissue derived from Animals or otherwise referred to it to ensure that it meets acceptable ethical standards; and
 - b) approve a protocol with or without modifications or reject a protocol.
- 5.7** The Protected Disclosure Advisor will:
- a) serve as the University's central point of contact to receive all confidential enquiries, allegations of breaches of this policy, and information related to allegations; and,
 - a)b) facilitate the University's Procedure for Investigating a Breach of Research Integrity with respect to all allegations of breaches of this policy including ensuring that all individuals who are participants in the investigation process (i.e.,

complainants, witnesses, and respondents) are provided with information on supports available to them.

6 Related Policies

~~Code of Conduct~~

6 Appendices

CHREB Terms of Reference
Research Ethics Appeal Board
Research Ethics Website
Animal Health Unit Website

7 Procedure

Investigating a Breach of Research Integrity, Procedure for

7.8 Related Procedures/Policies

Code of Conduct

8.9 Related Guidelines/Forms

Annual Financial and Administrative Compliance and Eligibility Certificate

9.10 Related Information

University of Calgary
Conjoint Faculties Research Ethics Board (CFREB)
Conjoint Health Research Ethics Board (CHREB)
Ethics and compliance
Research Ethics Appeal Board
Animal Health Unit

Other

Health Research Ethics Board of Alberta (HREBA)
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2)
Canadian Council on Animal Care (CCAC), Standards
Canadian Association for Laboratory Animal Medicine, Standards of Veterinary Care
Alberta Veterinary Medical Association (ABVMA), Legislation
Project Ethics Community Consensus Initiative (ARECCI)
Health Information Act: Guidelines and Practices Manual
TCPS 2 Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans
Canadian Council on Animal Care Policy and Guidelines
The Canadian Association of Laboratory Animal Medicine Standards of Veterinary Care
The Alberta Veterinary Association professional codes and standards
ARECCI
Province of Alberta Health Information Act: Guidelines and Practices Manual

FAQs Acceptable Conduct Pending Ethics Approval

10.11 History

December 12, 2014 Approved and Effective. This policy replaces will replace the Animal Care and Use Policy (2008); the Human Subject Research Ethics Policy (2008); the Integrity in Scholarly Activity Policy (1995) and the Northern Research Ethics Policy (1977).

October 31, 2018 Approved: Editorial Revision. Updated "Student" December 12, 2014

Deleted Cells

Effective: December 12, 2014
Editorial Change: October 31, 2018 (definition of "Student")
January 1, 2020 Editorial Revision. Updated format and links.

Research Integrity Policy

Classification Research	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Policy Statement 3 5 Responsibilities 7 6 Related Policies 8 7 Related Procedures 8 8 Related Guidelines/Forms 8 9 Related Information 8 10 History 9
Approval Authority General Faculties Council	
Implementation Authority Vice-President (Research)	
Effective Date December 12, 2014	
Last Revision N/A	

1 Purpose

The purpose of this policy is to:

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2 Scope

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- p) “Tri-Council” and “Tri-Agency” means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).
- q) “University” means the University of Calgary.

4 Policy Statement

- 4.1** All Research at the University will be conducted in accordance with the Tri-Council Policy Statements, the *Tri-Agency Framework: Responsible Conduct of Research* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.
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- a) understand their responsibilities under this policy;
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Responsible Conduct of Research

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At a minimum, Researchers are responsible for the following:

- a) using a high level of rigour in proposing and performing Research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings;
- b) keeping complete and accurate records of data, methods and findings, including graphs and images, in accordance with the applicable funding agreement, University policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of their work by others;
- c) referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methods, findings, graphs and images;
- d) including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions, and authorship policies of relevant publishers;
- e) acknowledging, in addition to authors, all contributors and contributions to Research, including writers, funders and sponsors; and
- f) reporting and managing any real, potential or perceived Conflict of Interest in accordance with any applicable policies and procedures.

Research Involving Humans

- 4.5** Research involving Humans will be conducted in accordance with the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.
- 4.6** Research involving Indigenous Peoples will be conducted in accordance with the principles of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* and the United Nations Declaration on the Rights of Indigenous Peoples.
- 4.7** Research proposals involving Humans will be reviewed by a Research Ethics Board when required by Tri-Council Policy. In some cases, a Research proposal may need to be reviewed by more than one Research Ethics Board.
- 4.8** The University may authorize its Research Ethics Board(s) to accept ethics reviews undertaken by an external research ethics board. For greater than minimal risk research ethics reviews undertaken by an external ethics board may only be accepted where such authorization is based on an official, cross-institutional agreement.
- 4.9** Research protocols involving Humans will not be undertaken if the protocol has not received formal ethics approval by the appropriate Research Ethics Board. This prohibition includes:
- a) any recruitment or interaction with Human Participants, their tissues and/or their data, collection and/or analyses of data, presentation/dissemination of data; the use of services, facilities, and space at the University and at an Affiliated organization; or
 - b) spending funds.
- Absent formal ethics approval by the appropriate Research Ethics Board, Research accounts may be opened and funds may be spent only in accordance with Research Accounting [guidelines](#) for early release of funds.
- 4.10** A Researcher who is a principal investigator may appeal a decision made by a Research Ethics Board to the Research Ethics Appeal Board.
- 4.11** The Research Ethics Appeal Board will maintain procedures governing the conduct of appeal hearings.

Research Involving Animals

- 4.12** Research involving the use of Animals and tissues derived from Animals will be conducted in accordance with applicable laws and regulations and the University's ethical standards for Animal research and will adhere to:
- a) the Canadian Council on Animal Care (CCAC) guidelines, policies and standards;
 - b) the Canadian Association of Laboratory Animal Medicine (CALAM/ACMAL) Standards of Veterinary Care; and
 - c) the Alberta Veterinary Medical Association (ABVMA) professional standards.
- 4.13** Animals and tissues derived from Animals are only to be used for Research purposes when there is a reasonable expectation of obtaining knowledge that will benefit people or Animals.

- 4.14** For Research involving Animals and tissues derived from Animals the University will also consider compliance with the requirements of other organizations on a project-by-project basis provided that these do not diminish or lessen the standards of care and conduct that would otherwise apply.
- 4.15** The appropriate Animal Care Committee will review the ethics of proposed teaching, Research or testing involving Animals and tissues derived from Animals.
- 4.16** The appropriate Animal Care Committee will determine if the proposed protocols comply with applicable law. If the Animal Care Committee finds that they are compliant, the protocols will be approved by the Animal Care Committee.
- 4.17** Findings of the Animal Care Committee may be appealed to the Vice-President (Research).
- 4.18** Research protocols involving Animals and tissues derived from Animals will not be undertaken if the protocols have not received formal ethics approval by the appropriate Animal Care Committee. This prohibition includes:
- a) any interaction involving Animals their tissues and/or their data, collection and/or analyses of data, presentation/dissemination of data;
 - b) the use of services, facilities, and space at the University and at an Affiliate organization; and
 - c) spending funds.
- Absent formal ethics approval by the appropriate Animal Care Committee, Research accounts may be opened and funds may be spent only in accordance with Research Accounting [guidelines](#) for early release of funds.
- 4.19** The University will acquire and maintain only the number and type of Animals that can be accommodated in existing facilities in accordance with applicable law.
- 4.20** Approval of a protocol, authorization of a Research grant, or receipt of a contract does not guarantee that the University will be able to acquire, house, and care for the Research or laboratory Animals specified under the terms of the project if, at the time the work is to proceed, the capacity of the University's facilities is otherwise fully utilized or space is unavailable.

Breach of Research Integrity

Conduct of Research

- 4.21** A breach of Research integrity includes, but is not limited to, the following:
- a) *Fabrication*: Making up data, source material, methods or findings, including graphs and images.
 - b) *Falsification*: Manipulating, changing, or omitting data, source material, methods or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.
 - c) *Destruction of Research records*: The destruction of one's own or another's Research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, University policy and/or laws, regulations and professional or disciplinary standards.
 - d) *Plagiarism*: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methods or findings,

including graphs and images, as one's own, without appropriate referencing and, if required, permission.

- e) *Redundant publications*: The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.
- f) *Invalid authorship*: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.
- g) *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.
- h) *Failure to declare Conflict of Interest*: Failure to declare any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.
- i) *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

Funding Applications

4.22 It is a breach of Research integrity to make a misrepresentation in a funding application or related document, including:

- a) providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report;
- b) applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other Research or Research funding organization world-wide for reasons of breach of responsible conduct of Research policies such as ethics, integrity or financial management policies; or
- c) the listing of co-applicants, collaborators or partners without their agreement.

Management of Funds

4.23 With respect to Research funds, it is a breach of Research integrity to:

- a) provide incomplete, inaccurate or false information in a grant, award, or other funding application or related document;
- b) use sponsored Research funds for purposes inconsistent with the policies of the funding agency;
- c) misappropriate sponsored Research funds;
- d) contravene the financial policies of the funding agency; or
- e) provide incomplete, inaccurate or false information on documentation for expenditures from sponsored Research accounts.

Policies and Ethics Approvals

4.24 It is a breach of Research integrity to fail to meet funding agency policy requirements or to fail to comply with relevant policies, laws or regulations.

4.25 For certain types of Research activities, including Research involving Humans, Animals, or biohazards, it is a breach of Research integrity to fail to obtain the

appropriate approvals, permits or certifications before conducting these Research activities.

Responsibility to Report Breaches of Research Integrity

4.26 Every person that is subject to the policy who has reasonable grounds to believe that a breach of Research integrity is occurring or has occurred shall promptly report the matter, in writing, to the Protected Disclosure Advisor, in accordance with the Procedure for Investigating a Breach of Research Integrity.

Violations

4.27 Violations of this policy will be managed in accordance with the procedure established and maintained by the Vice-President (Research), specifically under the Procedure for Investigating a Breach of Research Integrity.

4.28 Individuals found to have violated this policy may lose the privilege of conducting Research and may also be subject to penalties or discipline under University policies and procedures, applicable collective agreements and applicable law.

Records

4.29 Research data and records will be kept in accordance with the University's established record retention rules.

5 Responsibilities

5.1 Researchers will:

- a) become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;
- b) comply with this policy and applicable law, ethical and professional standards, guidelines and contractual obligations for their Research projects;
- c) ensure that all Research they are involved with complies with this policy, applicable law, ethical and professional standards, guidelines and contractual obligations; and
- d) complete the Annual Financial and Compliance and Eligibility Certificate form.

5.2 Deans, Department Heads and Directors of academic units will:

- a) become familiar with the requirements of this policy and the Procedure for Investigating a Breach of Research Integrity;
- b) ensure that Researchers in their faculty, department or unit understand their responsibilities under this policy;
- c) ensure Researchers in their faculty, department or unit receive appropriate training through Research Services or other appropriate sources (e.g. TCPS CORE Tutorial, CITI training modules) in the skills necessary for the ethical conduct of Research; and
- d) ensure Researchers in their faculty, department or unit are aware of applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.3 Research Services will:

- a) provide appropriate support and training for Researchers relating to the ethical conduct of Research; and

- b) provide guidance to Researchers on applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.4 CFREB will:

- a) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
- b) approve a protocol with or without modifications or reject a protocol.

5.5 CHREB will:

- a) review any Research proposal from Researchers Affiliated with the faculties of Kinesiology, Medicine and Nursing;
- b) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
- c) approve a protocol with or without modifications or reject a protocol.

5.6 Each Animal Care Committee will:

- a) review any Research proposal involving Animals or tissue derived from Animals or otherwise referred to it to ensure that it meets acceptable ethical standards; and
- b) approve a protocol with or without modifications or reject a protocol.

5.7 The Protected Disclosure Advisor will:

- a) serve as the University's central point of contact to receive all confidential enquiries, allegations of breaches of this policy, and information related to allegations; and,
- b) facilitate the University's Procedure for Investigating a Breach of Research Integrity with respect to all allegations of breaches of this policy including ensuring that all individuals who are participants in the investigation process (i.e., complainants, witnesses, and respondents) are provided with information on supports available to them.

6 Appendices

[CHREB Terms of Reference](#)
[Research Ethics Appeal Board](#)
[Research Ethics Website](#)
[Animal Health Unit Website](#)

7 Procedure

[Investigating a Breach of Research Integrity, Procedure for](#)

8 Related Policies

[Code of Conduct](#)

9 Related Forms

[Annual Financial and Administrative Compliance and Eligibility Certificate](#)

10 Related Information

[TCPS 2 Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans](#)
[Canadian Council on Animal Care Policy and Guidelines](#)
[The Canadian Association of Laboratory Animal Medicine Standards of Veterinary Care](#)
[The Alberta Veterinary Association professional codes and standards](#)
[ARECCI](#)
[Province of Alberta Health Information Act: Guidelines and Practices Manual](#)

FAQs Acceptable Conduct Pending Ethics Approval

11 History

This policy will replace the Animal Care and Use Policy (2008); the Human Subject Research Ethics Policy (2008); the Integrity in Scholarly Activity Policy (1995) and the Northern Research Ethics Policy (1977).

Approved: December 12, 2014

Effective: December 12, 2014

Editorial Change: October 31, 2018 (definition of “Student”)

**Investigating a Breach of Research Integrity, Procedure for
Procedure for Investigating a Breach of Research Integrity**

Classification Research	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Procedure 4 5 Parent Policy..... 12 6 Related Information 12 7 History 12
Approval Authority Vice-President (Research)	
Implementation Authority Vice-President (Research)	
Effective Date March 28, 2013	
Last Revision N/A	

- 1 Purpose** ~~The purpose of this~~ This procedure ~~is to outline~~ outlines the process by which: ~~Individuals may make~~ an allegation
- a) ~~of a breach of the Research Integrity Policy is investigated to the University;~~
 - b) ~~the University will respond to an allegation of a breach of the Research Integrity Policy;~~
~~and~~
 - c) ~~individuals will be protected from Reprisals for making an allegation.~~
- ~~This procedure is not intended to address the process for reporting an allegation directly to the relevant Agency.~~
- 2 Scope** This procedure applies to Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, and any other person who conducts Research under the auspices of, or in Affiliation with, the University.
- This procedure applies ~~to all allegations of breaches of the Research Integrity Policy reported to the University,~~ regardless of the source of ~~funding for~~ the research-
~~This procedure will apply even if the allegation is submitted as a protected disclosure funding, including those allegations made~~ under the Procedure for Protected Disclosure.
~~Nothing in this procedure precludes an individual from reporting an allegation to the relevant Agency.~~
- 3 Definitions** In this procedure:

- a)d) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an academic staff member under ~~Article 1 of the~~ collective agreement between ~~the Faculty Association of the~~ The University of Calgary Faculty Association and the Governors of the University of Calgary ~~in effect at the relevant time.~~
- b)e) “Affiliation” means a close connection or formal relationship as defined and interpreted by Tri-Council.
- f) “Affiliate” means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.
- e)g) “Agency” refers to any one of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC).
- e)h) “Appointee” means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, and visiting researchers and scholars.
- e)i) “Business Days” means days that the University is open for business, excluding weekends and holiday closures.
- f)j) “Complainant” means ~~an individual who has notified the University or an Agency of the~~ person making an allegation of a breach of the Research Integrity Policy.
- g)k) “Dean” means the dean(s) of the faculty(ies) in which the Respondent holds an appointment or is registered or the Provost and Vice-President (Academic) if the Respondent is a Dean or the President if the Respondent is the Provost and Vice-President (Academic) or the Vice-President (Research).
- h)l) “Employee” means an individual, ~~other than an Academic Staff Member or Appointee,~~ who is engaged to work for the University under an employment contract or collective agreement.
- m) “Good Faith” as applied to an allegation means that it is submitted with the intent to achieve the purposes of the University’s Research Integrity Policy and is not submitted for another purpose that is frivolous or vexatious (e.g., to harass a colleague) or in a manner in which it makes it challenging for a neutral and impartial inquiry or investigation to be carried out.
- n) “Indigenous Peoples” means the definition of Indigenous Peoples provided by the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Métis descent and their communities.
- o) “Investigation Committee” means the person or persons appointed by the Protected Disclosure Advisor to investigate an allegation of a breach of the Research Integrity Policy.
- i)p) “Postdoctoral Scholar” means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.
- j) ~~“Reprisal” means reprisals as defined in the University Code of Conduct.~~

- g) “Reprisal” means Retaliatory Measures that are taken against an individual because they have sought advice about making an allegation of a breach of research integrity, made an allegation of a breach of research integrity in Good Faith, co-operated in an investigation of a breach of research integrity, or declined to participate in a breach of research integrity.
- k)r) “Research” means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.
- s) “Research Records” means the record of data or results that embody the facts resulting from scholarly or scientific inquiry, or creative practice including but not limited to, Research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to an Agency, or University official in the course of a preliminary review or investigation of an allegation of breach of the University’s Research Integrity policy.
- t) “Researcher” means an individual, who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.
- m)u) “Respondent” means a Researcher who is identified in an allegation as having possibly alleged to have breached the Research Integrity Policy.
- n)v) “Responsible Allegation” means an allegation which:
 - i. appears to be made in ~~good faith~~ Good Faith;
 - ii. is based on alleged facts which have not been the subject of a previous allegation; ~~and~~
 - iii. if the alleged facts are true, falls within one or more of the breaches set out in Sections 4.21 to 4.25 of the Research Integrity Policy; and
 - iv. if proven, would have constituted a breach of the Research Integrity Policy at the time the alleged breach occurred.
- w) “Retaliatory Measures” means:
 - i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any act that adversely affects the employment, working conditions, or education of the individual; and
 - iii. a threat to do any of the above
- e)x) “SRCR” means the Secretariat on Responsible Conduct of Research which provides substantive and administrative support for the Tri-Agency Framework: Responsible Conduct of Research (as revised from time to time).
- p)y) “Student” means an individual registered in a University course or program of study.
- z) “Tri-Council” means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).
- aa) “University” means the University of Calgary.

4 Procedure

Making an Allegation

- 4.1 An individual, either internal or external to the University, may submit any of the following to the ~~Protected Disclosure Advisor~~: Protected Disclosure Advisor:
- an inquiry regarding a breach of the Research Integrity Policy;
 - an allegation of a breach of the Research Integrity Policy; or
 - information related to an allegation of a breach of the Research Integrity Policy.
- 4.2 An allegation of a breach of the Research Integrity Policy must be in writing ~~and signed by the Complainant. An anonymous allegation will not be acted upon.~~ The allegation should contain enough information to permit an evaluation of whether the alleged misconduct constitutes a breach of the Research Integrity Policy and to permit further information gathering about the alleged misconduct. The allegation should include:
- The University will protect a Complainant who makes a good faith allegation of a breach Identification of the Research Integrity Policy or who provides Respondent(s);
 - Location and time that the alleged misconduct occurred;
 - Sufficient detail about the nature of the alleged misconduct; and
 - Name, signature and contact information related to such an of the Complainant(s).
- 4.3 An anonymous allegation will be assessed and investigated if determined to be a Responsible Allegation, if the allegation from Reprisals is accompanied by sufficient information to the extent possible enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the Complainant.
- 4.4 Where the allegation is related to conduct that occurred at another institution, the Protected Disclosure Advisor will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The Protected Disclosure Advisor must communicate to the Complainant which of the University or other institution will conduct the inquiry and investigation, if warranted.
- 4.5 Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the principles of procedural fairness and natural justice, the Protected Disclosure Advisor will ensure the confidentiality of the information collected and will protect the identity of the persons involved in the disclosure process, including the Complainant, any witnesses and the Respondent, to the fullest extent possible given the need for. When information is shared it will normally be related to requirements pertaining to the following circumstances:
- establishing interim measures to address the allegation, if needed;
 - initiating, investigating and resolving the allegation;
 - ~~a) c)~~ conforming to the principles of due process in pursuing the allegation and natural justice,
 - ~~d)~~ Receiving unsatisfying legal requirements; and
 - ensuring the health and safety of employees in the workplace.

Inquiry: Assessment of Allegation

4.44.6 The Protected Disclosure Advisor will consult with the Dean ~~and they may consult with or the Vice-President (Research), and~~ others with expertise in the area of Research, as needed, to determine if:

- a) an allegation is a Responsible Allegation; and
- b) immediate action is ~~warranted~~required to mitigate a human subject, animal subject or other safety risk, or to protect the administration of Research funds ~~or~~. If immediate action is required, the Vice-President (Research) will take steps to mitigate a health or safety the identified risk-(s).

If the complaint concerns Research involving Indigenous Peoples, the Protected Disclosure Advisor will consult with the Vice-Provost (Indigenous Engagement), or delegate to make this determination.

4.54.7 The Protected Disclosure Advisor will ~~make such~~complete the initial determination within ten (10) Business Days of receiving the whether an allegation is a Responsible Allegation as promptly as possible and no later than two (2) months from the date of receipt of the allegation, unless exceptional circumstances support an extension.

4.64.8 If the allegation is determined not to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant in writing. The matter will be closed and the records will be retained in accordance with University record retention rules.

~~4.7~~ If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant and Respondent and others as appropriate.

4.84.9 The Protected Disclosure Advisor will ~~immediately~~ advise the SRCR in writing of any Responsible Allegation related to activities funded by an Agency that may involve significant financial, health, safety or other risks, subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act ~~(as revised from time to time).~~

4.10 In addition to the notification in Article 4.9, the Protected Disclosure Advisor, with assistance from the Vice-President (Research) Office and Vice-Provost (Indigenous Engagement), where relevant, will determine if any other applicable Research funders ~~or~~, government agencies, or communities need to be notified ~~if of~~ the Responsible ~~Allegation~~Allegations.

4.94.11 A Complainant who is related found to funded activities that have made a frivolous or vexatious complaint may pose significant financial, health, safety be subject to disciplinary action up to and including termination of employment or other risks relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement.

Investigation of a Responsible Allegation

4.104.12 If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor, in consultation with the Dean, or Vice-President (Research Office) will promptly draw up terms of reference for an investigation. The

~~terms of reference will set a date by which~~ timeline for the investigation ~~is to~~ will be concluded. The date will comply with the reporting timeframes set out ~~included~~ in section 4.4 of the Terms of Reference and shall be no later than five (5) months following the Tri-Agency Framework ~~determination that the allegation is a~~ Responsible Conduct of Research (as revised from time to time). Allegation, unless exceptional circumstances warrant an extension. For matters involving activities funded by an Agency, any such extension must be approved, in advance, by the SRCR.

~~Investigation of a Responsible Allegation~~

~~4.13~~ The Protected Disclosure Advisor will appoint an investigation committee to carry out ~~objectives of~~ the investigation will be:

- ~~a)~~ to collect and review information relating to the allegation;
- ~~a)b)~~ make determinations of a Responsible Allegation facts as to whether the allegation is substantiated and the seriousness of the breach;
- ~~c)~~ maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses, including any Indigenous Peoples or communities engaged in the Research; and
- ~~d)~~ if applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.

~~4.14.14~~ The investigation committee ~~Investigation Committee~~ will include three members, one of whom will serve as chair. The members will have:

- ~~a)~~ appropriate expertise;
- ~~b)~~ no real or apparent conflict of interest; and
- ~~c)~~ no perceived bias.

The ~~committee~~ Investigation Committee will include at least one external member who has no current ~~affiliation~~ Affiliation with the University ~~when the allegation is related to activities funded by an Agency.~~

~~4.14.15~~ When the Respondent is an Academic Staff Member, the members of the investigation committee ~~Investigation Committee~~ will be Academic Staff Members, subject to the requirement to have one external member ~~if the allegation is related to activities funded by an Agency.~~

~~4.14.16~~ When the Respondent is a member of the Faculty Association of the University of Calgary or the, the Graduate Students' Association as a Graduate Assistant, the Alberta Union of Provincial Employees (Local 052), or the Postdoctoral Association of the University of Calgary, and the Research integrity concern relates to their employment, the Respondent may have an Association or Union representative added to the ~~committee~~ Investigation Committee as a participating but non-voting member.

~~4.17~~ The ~~Within a reasonable time of determining that an allegation is a Responsible Allegation, the~~ Protected Disclosure Advisor will promptly notify ~~provide~~ the Respondent ~~of the~~ with written notice of the investigation. The notice shall include a copy of the Terms of Reference. The notice shall also include the names of the ~~investigation committee~~ Investigation Committee members. The Respondent may, within five (5) Business Days of receipt of the notice, submit a written statement to the Protected Disclosure Advisor objecting to any of the ~~investigation~~

~~committee~~Investigation Committee members and setting out the reasons for the objection(s).

- a) If the Protected Disclosure Advisor receives such ~~a~~ written statement within the five (5) Business Day period, the Protected Disclosure Advisor will consider the objections and may or may not revoke the appointment of one or more ~~investigation committee members. If the Protected Disclosure Advisor revokes the appointment of one or more investigation committee members, the Protected Disclosure Advisor will, subject to paragraphs 4.13 and 4.14, appoint one or more new investigation committee members. The decisions of the Protected Disclosure Advisor pursuant to this paragraph are final and the members of the investigation committee appointed pursuant to this paragraph together with any member appointed pursuant to paragraphs 4.13 and 4.14 whose appointment is not revoked and any member appointed pursuant to paragraph 4.15 will continue as the investigation committee.~~Investigation Committee members.
- b) If the Protected Disclosure Advisor revokes the appointment of one or more Investigation Committee members, the Protected Disclosure Advisor will appoint one or more new Investigation Committee members.

The ~~investigation committee~~ decisions of the Protected Disclosure Advisor pursuant to this paragraph are final.

Conduct of the Investigation

4.18 All participants in the investigation process (i.e., complainants, witnesses, and respondents) may elect to have a union representative, University association representative, or other advisor present in investigation meetings. Respondents who were acting in their official employment capacity and in a position represented by a union or association of the University, will be mandated to determine whether advised of their right to representation in the investigation process. When a representative or advisor attends, they will be entitled to speak at the meeting.

4.144.19 Everyone involved in the investigation of an allegation of a breach of the University's Research Integrity Policy ~~occurred and will be instructed~~keep all information relating to ~~complete~~ the investigation ~~within~~confidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the reporting timeframes set out in section 4.4 of the Tri-Agency Framework: Responsible Conduct of Researchinformation.

Conduct of the Investigation

~~4.15~~The ~~investigation committee~~Investigation Committee will maintain procedural fairness in conducting the investigation ~~in order~~ to protect the rights of the Respondent and Complainant.

~~4.164.20~~The ~~investigation committee~~ will show consideration for the following precepts in ensuring procedural fairnessInvestigation Committee will:

- a) confirm the Respondent ~~is entitled to know~~has been made aware of the allegation and the evidence being considered by the ~~investigation committee.~~ The ~~Investigation Committee;~~

- ~~a) b) afford the Respondent will have an opportunity to respond to the allegations and the evidence in person and/or in writing;~~
- ~~b) c) if the investigation committee is contemplating making a report that is adverse to the interests of any person, that person will be given the provide the Respondent with notice and an opportunity to put forward further material that may influence the outcome of the report; if it is contemplating making a report that is adverse to the interests of the Respondent; and~~

~~4.17 The investigation committee will document discussions and interviews and will keep all information it creates or reviews in the course of its investigation.~~

~~4.18 The Respondent, the Complainant, and witnesses may have an advisor present during any meeting with the investigation committee and the advisor will be entitled to speak at the meeting.~~

- ~~d) work to minimize delay.~~

~~4.21 The Investigation Committee will record or transcribe all interviews it conducts with the Complainant, Respondent, and any relevant persons, and will submit any such transcript to the interviewee for review. For clarity, deliberations of the Investigation Committee will not be recorded in any form.~~

~~4.22 If during the investigation, the Investigation Committee identifies information that suggests there are potential violations related to Research Misconduct that are not part of the original Responsible Allegation, or which suggests additional Respondents, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor to amend the investigation Terms of Reference. If the expanded investigation changes the scope of the investigation, appropriate parties will be provided with notice.~~

~~If during the course of the investigation, the Investigation Committee identifies information that suggests a violation of a University policy other than the Research Integrity Policy, the Investigation Committee shall refer any such matter back to Protected Disclosure Advisor for further action. The possible violation identified will be addressed or referred by the Protected Disclosure Advisor in accordance with the relevant University policy or procedure.~~

~~4.23 If during the course of the investigation, the Respondent ceases to hold a position or appointment at the University or leaves the jurisdiction, the Protected Disclosure Advisor will decide whether the investigation will continue. If the investigation continues and the Respondent refuses to participate in the process after ceasing to hold a position or appointment at the University, the Investigation Committee shall use its best efforts to reach a conclusion, and shall deliver its report with a statement as to the effect that this lack of cooperation had on the Investigation Committee's review of the evidence.~~

Final Report of the Investigation Committee

~~4.194.24~~ When the investigation is complete, the ~~investigation committee~~ Investigation Committee will submit a written report to the Protected Disclosure Advisor ~~within thirty (30) Business Days~~. The report will include:

- ~~a) the allegation;~~

- a) the date the allegation was first received by the University, and if different, the date that the allegation was first brought to the attention of the Protected Disclosure Advisor;
- b) a description of the allegation, including which sections of the Research Integrity Policy have been allegedly breached;
- c) the names, positions and affiliations of the Complainant(s) and the Respondent(s);
- d) the sources of funding for the Research, and an indication of whether the allegation involves Agency funds;
- ~~b)e)~~ an account of all relevant information received and, if the ~~investigation committee~~ Investigation Committee has rejected evidence as being unreliable, the reasons for this conclusion;
- ~~e)f)~~ the Respondent's response to the allegation, investigation, and any measures the Respondent has taken to rectify any breach;
- ~~d)g)~~ the conclusions reached and the basis for them; and
- ~~e)h)~~ if the ~~investigation committee~~ Investigation Committee finds the allegation to be true, ~~the degree an assessment of seriousness~~ the severity, intentionality, and impact of the breach; and
- i) if applicable, any non-disciplinary recommendations.

4.25 The report will be accompanied by all records created or received by the Investigation Committee during the investigation ~~committee in the course~~, including copies of any transcribed interviews.

4.204.26 If the ~~investigation~~ Protected Disclosure Advisor is satisfied that the report brings the Investigation to an end, the Protected Disclosure Advisor will provide the full investigation report to the Dean, with a copy to the Vice-President (Research) Office. If the Research involves Indigenous Peoples, the Protected Disclosure Advisor will consult with the affected community or organisation before bringing an investigation to an end.

~~4.21~~ The Protected Disclosure Advisor will submit the report to the Dean.

4.27 Upon receipt of the report of the ~~investigation committee~~ Investigation Committee, the Dean, or appropriate designate in the case of external parties, will promptly provide the Respondent with a copy of the report and advise, in writing, with a full copy of the Investigation report. Subject to 4.6, the names of any individuals involved in an investigation will not be disclosed by the University to any person except where disclosure is necessary for the purposes of determining interim measures or of resolving the formal report and taking any related disciplinary measures.

Appeal Process

4.224.28 If the Respondent and, where applicable, the Provost and Vice-President (is a Student, or a member of a bargaining unit, the Respondent may have recourse to appeal disciplinary action through the Student Misconduct and Academic) that the allegation is: Appeals Policy, or the grievance procedures of the applicable collective agreement. Where such recourse exists, no further appeal is available under this Process. If the Respondent does not have access to such an appeal or grievance process and wishes to appeal the decision or sanction, they must submit a notice of appeal, in writing, to the Vice-President (Research) within ten (10) Business Days after

receipt of the Investigation Report. The Vice-President (Research) will assign a delegate to review an appeal in any circumstance in which the Vice-President (Research) has been actively involved in supporting the Protected Disclosure Advisor or has implemented interim measures to mitigate a risk. The delegate may be the Chair of the Research Ethics Appeal Board or another qualified individual with no real, potential or perceived conflict of interest, and appropriate expertise to review the appeal.

4.29 Grounds for such an appeal shall be limited to:

- a) the decision was made in a procedurally unfair way; or
- b) there was a reasonable apprehension of bias on the part of any member of the Investigation Committee.

~~a) The dismissed; or~~
substantiated notice of appeal shall succinctly set out the complete and substantive reasons for the appeal and state on which grounds the appeal is based.

4.30 Within thirty (30) working days of receiving the notice of appeal, the Vice-President (Research), or delegate, will be dealt review the Investigation report and the notice of appeal to determine if there are valid grounds for appeal. The Vice-President (Research) may, but is not required to, meet with any of the Respondent, Complainant, Witnesses, or members of the Investigation Committee.

~~4.234.31~~ If the Vice-President (Research), or delegate, determines that there are no valid grounds for an appeal under the existing disciplinary powers of the Dean; or Research Integrity Policy and Procedure, the Vice-President Research will notify the Respondent in writing. The matter will be closed and the decision of the Vice-President Research is final.

~~4.32~~ is substantiated and due to the seriousness of the breach must be referred to the Executive Leadership Team for review of any non-disciplinary issues. If the Vice-President (Research), or delegate, determines that there are valid grounds for an appeal, then the Vice-President (Research) shall inform the Respondent, and others as appropriate, including the funding Agency where required, that a new investigation shall be initiated.

Outcome of the Investigation

~~4.24~~ The Protected Disclosure Advisor will inform affected parties of the decision reached by the investigation committee and of any recourse to be taken by the University.

~~4.254.33~~ If the allegation is not substantiated, the Dean will take all reasonable steps necessary to protect or restore the Respondent's reputation if it has suffered by virtue of the allegation. This shall be done in consultation with the Respondent, as may be appropriate. The steps may include, without limitation, informing any individual or entity that was aware of the matter that the Respondent has been cleared of all allegations of misconduct.

~~4.264.34~~ A Respondent who is found to have committed a breach of the Research Integrity Policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Any actions required to

correct the breach are the obligation and responsibility of the Respondent/Researcher. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.

4.35 ~~The~~ if the report from the Investigation Committee contains non-disciplinary recommendations for post-investigation follow-up for the University, the Respondent, or any other individual, the Protected Disclosure Advisor will refer these recommendations to the appropriate unit, department, and/or individual at the University of Calgary.

4.36 Following consultation with the Vice-Provost (Indigenous Engagement), and any affected community or organization, an approach aligned with an indigenous community's worldview may be followed to address harms arising from an allegation.

Reporting Requirements

4.274.37 ~~As required by Tri-Council Framework, the~~ Protected Disclosure Advisor will submit a report to the SRCR with respect to an investigation related to activities funded by an Agency within seven (7) months of receipt of the allegation. ~~Subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act, the~~ The report will include the following information:

- a) the specific allegation, a summary of the finding(s), and the reasons for the finding(s);
- b) the process and timelines for the investigation;
- c) the Respondent's response to the allegation, investigation and findings, and any measures the Respondent has taken to rectify any breach; and
- d) the ~~investigation committee's~~ Investigation Committee's decisions and recommendations and actions taken by the University.

4.284.38 ~~The~~ report to the SRCR will not include:

- a) information that is not related specifically to Agency funding and policies; or
- b) the Respondent's personal information, or that of any other person, that is not material to the University's findings and its report to the SRCR.

4.39 ~~The~~ In addition to the notification in 4.37, the Protected Disclosure Advisor will ~~likewise inform~~ determine, with assistance from the Vice-President (Research) if any other granting agency applicable Research funders or sponsor about any government agencies need to be notified of the outcome of the investigation related to activities such agency or sponsor funded if required under the terms of the funding agreement or any other agreement with such agency or sponsor.

4.40 The University will report annually to the Secretariat on the Responsible Conduct of Research on the total number of Complaints received under the Research Integrity Policy involving Research Funds, and the number and nature of confirmed Responsible Allegations, subject to applicable laws, including privacy laws.

4.294.41 ~~Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the United Nations Declaration on the Rights of Indigenous Peoples, the University will post annually on its website information on~~

confirmed findings of breaches of its Research Integrity policy such as the number and general nature of the breaches

5 Parent Policy

[Research Integrity Policy](#)

6 Related Information

<https://www.ucalgary.ca/pdri>
~~Panel on Research Ethics, Government of Canada~~ [Tri-Agency Framework: Responsible Conduct of Research](#)
[Government of Canada – Panel on Research Ethics](#)

67 References

Add titles/hyperlinks for any related documents (e.g. manuals)

78 History

March 21, 2013	Approved.
March 28, 2013	Effective.
August 26, 2015	Editorial Revision.
October 31, 2018	Approved:
Effective:	March 21, 2013
Revised:	March 28, 2013
Editorial Change:	August 26, 2015 (Editorial Revision. Updated “Student” Revisions)
	October 31, 2018 (definition of “Student”)
January 1, 2020	Editorial Revision. Updated format and links.

Procedure for Investigating a Breach of Research Integrity

<p>Classification Research</p>	<p>Table of Contents</p> <p>1 Purpose 1</p> <p>2 Scope 1</p> <p>3 Definitions 1</p> <p>4 Procedure 3</p> <p>5 Parent Policy 10</p> <p>6 Related Information 10</p> <p>7 History 10</p>
<p>Approval Authority Vice-President (Research)</p>	
<p>Implementation Authority Vice-President (Research)</p>	
<p>Effective Date March 28, 2013</p>	
<p>Last Revision N/A</p>	

1 Purpose

This procedure outlines the process by which:

- a) Individuals may make an allegation of a breach of the Research Integrity Policy to the University;
- b) the University will respond to an allegation of a breach of the Research Integrity Policy; and
- c) individuals will be protected from Reprisals for making an allegation.

This procedure is not intended to address the process for reporting an allegation directly to the relevant Agency.

2 Scope

This procedure applies to Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, and any other person who conducts Research under the auspices of, or in Affiliation with, the University.

This procedure applies to all allegations of breaches of the Research Integrity Policy reported to the University, regardless of the source of the research funding, including those allegations made under the Procedure for Protected Disclosure.

Nothing in this procedure precludes an individual from reporting an allegation to the relevant Agency.

3 Definitions

In this procedure:

- d) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an academic staff member under the collective agreement between The University of Calgary Faculty Association and the Governors of the University of Calgary

- e) “Affiliation” means a close connection or formal relationship as defined and interpreted by Tri-Council.
- f) “Affiliate” means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.
- g) “Agency” refers to any one of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC).
- h) “Appointee” means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, and visiting researchers and scholars.
- i) “Business Days” means days that the University is open for business, excluding weekends and holiday closures.
- j) “Complainant” means the person making an allegation of a breach of the Research Integrity Policy.
- k) “Dean” means the dean(s) of the faculty(ies) in which the Respondent holds an appointment or is registered or the Provost and Vice-President (Academic) if the Respondent is a Dean or the President if the Respondent is the Provost and Vice-President (Academic) or the Vice-President (Research).
- l) “Employee” means an individual who is engaged to work for the University under an employment contract or collective agreement.
- m) “Good Faith” as applied to an allegation means that it is submitted with the intent to achieve the purposes of the University’s Research Integrity Policy and is not submitted for another purpose that is frivolous or vexatious (e.g., to harass a colleague) or in a manner in which it makes it challenging for a neutral and impartial inquiry or investigation to be carried out.
- n) “Indigenous Peoples” means the definition of Indigenous Peoples provided by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Métis descent and their communities.
- o) “Investigation Committee” means the person or persons appointed by the Protected Disclosure Advisor to investigate an allegation of a breach of the Research Integrity Policy.
- p) “Postdoctoral Scholar” means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.
- q) “Reprisal” means Retaliatory Measures that are taken against an individual because they have sought advice about making an allegation of a breach of research integrity, made an allegation of a breach of research integrity in Good Faith, co-operated in an investigation of a breach of research integrity, or declined to participate in a breach of research integrity.

- r) “Research” means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.
- s) “Research Records” means the record of data or results that embody the facts resulting from scholarly or scientific inquiry, or creative practice including but not limited to, Research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to an Agency, or University official in the course of a preliminary review or investigation of an allegation of breach of the University’s Research Integrity policy.
- t) “Researcher” means an individual who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.
- u) “Respondent” means a Researcher who is alleged to have breached the Research Integrity Policy.
- v) “Responsible Allegation” means an allegation which:
 - i. appears to be made in Good Faith;
 - ii. is based on alleged facts which have not been the subject of a previous allegation;
 - iii. if the alleged facts are true, falls within one or more of the breaches set out in Sections 4.21 to 4.25 of the Research Integrity Policy; and
 - iv. if proven, would have constituted a breach of the Research Integrity Policy at the time the alleged breach occurred.
- w) “Retaliatory Measures” means:
 - i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
 - ii. any act that adversely affects the employment, working conditions, or education of the individual; and
 - iii. a threat to do any of the above
- x) “SRCR” means the Secretariat on Responsible Conduct of Research which provides substantive and administrative support for the Tri-Agency. Framework: Responsible Conduct of Research (as revised from time to time).
- y) “Student” means an individual registered in a University course or program of study.
- z) “Tri-Council” means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).
- aa) “University” means the University of Calgary.

4 Procedure

Making an Allegation

- 4.1** An individual, either internal or external to the University, may submit any of the following to the [Protected Disclosure Advisor](#):
- a) an inquiry regarding a breach of the Research Integrity Policy;

- b) an allegation of a breach of the Research Integrity Policy; or
 - c) information related to an allegation of a breach of the Research Integrity Policy.
- 4.2** An allegation of a breach of the Research Integrity Policy must be in writing. The allegation should contain enough information to permit an evaluation of whether the alleged misconduct constitutes a breach of the Research Integrity Policy and to permit further information gathering about the alleged misconduct. The allegation should include:
- a) Identification of the Respondent(s);
 - b) Location and time that the alleged misconduct occurred;
 - c) Sufficient detail about the nature of the alleged misconduct; and
 - d) Name, signature and contact information of the Complainant(s).
- 4.3** An anonymous allegation will be assessed and investigated if determined to be a Responsible Allegation, if the allegation is accompanied by sufficient information to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the Complainant.
- 4.4** Where the allegation is related to conduct that occurred at another institution, the Protected Disclosure Advisor will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The Protected Disclosure Advisor must communicate to the Complainant which of the University or other institution will conduct the inquiry and investigation, if warranted.
- 4.5** Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the principles of procedural fairness and natural justice, the Protected Disclosure Advisor will ensure the confidentiality of the information collected and will protect the identity of the persons involved in the disclosure process, including the Complainant, any witnesses and the Respondent, to the fullest extent possible. When information is shared it will normally be related to requirements pertaining to the following circumstances:
- a) establishing interim measures to address the allegation, if needed;
 - b) initiating, investigating and resolving the allegation;
 - c) conforming to the principles of due process and natural justice,
 - d) satisfying legal requirements; and
 - e) ensuring the health and safety of employees in the workplace.

Inquiry: Assessment of Allegation

- 4.6** The Protected Disclosure Advisor will consult with the Dean or the Vice-President (Research), and others with expertise in the area of Research, as needed, to determine if:
- a) an allegation is a Responsible Allegation; and
 - b) immediate action is required to mitigate a human subject, animal subject or other safety risk, or to protect the administration of Research funds. If immediate action is required, the Vice-President (Research) will take steps to mitigate the identified risk(s).

If the complaint concerns Research involving Indigenous Peoples, the Protected Disclosure Advisor will consult with the Vice-Provost (Indigenous Engagement), or delegate to make this determination.

- 4.7** The Protected Disclosure Advisor will complete the initial determination of whether an allegation is a Responsible Allegation as promptly as possible and no later than two (2) months from the date of receipt of the allegation, unless exceptional circumstances support an extension.
- 4.8** If the allegation is determined not to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant in writing. The matter will be closed and the records will be retained in accordance with University record retention rules.
- 4.9** The Protected Disclosure Advisor will advise the SRCR in writing of any Responsible Allegation related to activities funded by an Agency that may involve significant financial, health, safety or other risks, subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act.
- 4.10** In addition to the notification in Article 4.9. the Protected Disclosure Advisor, with assistance from the Vice-President (Research) Office and Vice-Provost (Indigenous Engagement), where relevant, will determine if any other applicable Research funders, government agencies, or communities need to be notified of the Responsible Allegations.
- 4.11** A Complainant who is found to have made a frivolous or vexatious complaint may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement.

Investigation of a Responsible Allegation

- 4.12** If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor, in consultation with the Dean, or Vice-President (Research Office) will promptly draw up terms of reference for an investigation. The timeline for the investigation will be included in the Terms of Reference and shall be no later than five (5) months following the determination that the allegation is a Responsible Allegation, unless exceptional circumstances warrant an extension. For matters involving activities funded by an Agency, any such extension must be approved, in advance, by the SRCR.
- 4.13** The objectives of the investigation will be:
 - a) to collect and review information relating to the allegation;
 - b) make determinations of facts as to whether the allegation is substantiated and the seriousness of the breach;
 - c) maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses, including any Indigenous Peoples or communities engaged in the Research; and
 - d) if applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.
- 4.14** The Investigation Committee will include three members, one of whom will serve as chair. The members will have:

- a) appropriate expertise;
- b) no real or apparent conflict of interest; and
- c) no perceived bias.

The Investigation Committee will include at least one external member who has no current Affiliation with the University.

- 4.15** When the Respondent is an Academic Staff Member, the members of the Investigation Committee will be Academic Staff Members, subject to the requirement to have one external member.
- 4.16** When the Respondent is a member of the Faculty Association of the University of Calgary, the Graduate Students' Association as a Graduate Assistant, the Alberta Union of Provincial Employees (Local 052), or the Postdoctoral Association of the University of Calgary, and the Research integrity concern relates to their employment, the Respondent may have an Association or Union representative added to the Investigation Committee as a participating but non-voting member.
- 4.17** Within a reasonable time of determining that an allegation is a Responsible Allegation, the Protected Disclosure Advisor will provide the Respondent with written notice of the investigation. The notice shall include a copy of the Terms of Reference. The notice shall also include the names of the Investigation Committee members. The Respondent may, within five (5) Business Days of receipt of the notice, submit a written statement to the Protected Disclosure Advisor objecting to any of the Investigation Committee members and setting out the reasons for the objection(s).
- a) If the Protected Disclosure Advisor receives such written statement within the five (5) Business Day period, the Protected Disclosure Advisor will consider the objections and may or may not revoke the appointment of one or more Investigation Committee members.
 - b) If the Protected Disclosure Advisor revokes the appointment of one or more Investigation Committee members, the Protected Disclosure Advisor will appoint one or more new Investigation Committee members.

The decisions of the Protected Disclosure Advisor pursuant to this paragraph are final.

Conduct of the Investigation

- 4.18** All participants in the investigation process (i.e., complainants, witnesses, and respondents) may elect to have a union representative, University association representative, or other advisor present in investigation meetings. Respondents who were acting in their official employment capacity and in a position represented by a union or association of the University, will be advised of their right to representation in the investigation process. When a representative or advisor attends, they will be entitled to speak at the meeting.
- 4.19** Everyone involved in the investigation of an allegation of a breach of the University's Research Integrity Policy will keep all information relating to the investigation confidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the information.
- 4.20** The Investigation Committee will maintain procedural fairness in conducting the investigation to protect the rights of the Respondent and Complainant. The Investigation Committee will:

- a) confirm the Respondent has been made aware of the allegation and the evidence being considered by the Investigation Committee;
- b) afford the Respondent an opportunity to respond to the allegations and the evidence in person and in writing;
- c) provide the Respondent with notice and an opportunity to put forward further material that may influence the outcome of the report if it is contemplating making a report that is adverse to the interests of the Respondent; and
- d) work to minimize delay.

4.21 The Investigation Committee will record or transcribe all interviews it conducts with the Complainant, Respondent, and any relevant persons, and will submit any such transcript to the interviewee for review. For clarity, deliberations of the Investigation Committee will not be recorded in any form.

4.22 If during the investigation, the Investigation Committee identifies information that suggests there are potential violations related to Research Misconduct that are not part of the original Responsible Allegation, or which suggests additional Respondents, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor to amend the investigation Terms of Reference. If the expanded investigation changes the scope of the investigation, appropriate parties will be provided with notice.

If during the course of the investigation, the Investigation Committee identifies information that suggests a violation of a University policy other than the Research Integrity Policy, the Investigation Committee shall refer any such matter back to Protected Disclosure Advisor for further action. The possible violation identified will be addressed or referred by the Protected Disclosure Advisor in accordance with the relevant University policy or procedure.

4.23 If during the course of the investigation, the Respondent ceases to hold a position or appointment at the University or leaves the jurisdiction, the Protected Disclosure Advisor will decide whether the investigation will continue. If the investigation continues and the Respondent refuses to participate in the process after ceasing to hold a position or appointment at the University, the Investigation Committee shall use its best efforts to reach a conclusion, and shall deliver its report with a statement as to the effect that this lack of cooperation had on the Investigation Committee's review of the evidence.

Final Report of the Investigation Committee

4.24 When the investigation is complete, the Investigation Committee will submit a written report to the Protected Disclosure Advisor within thirty (30) Business Days. The report will include:

- a) the date the allegation was first received by the University, and if different, the date that the allegation was first brought to the attention of the Protected Disclosure Advisor;
- b) a description of the allegation, including which sections of the Research Integrity Policy have been allegedly breached;
- c) the names, positions and affiliations of the Complainant(s) and the Respondent(s);

- d) the sources of funding for the Research, and an indication of whether the allegation involves Agency funds;
- e) an account of all relevant information received and, if the Investigation Committee has rejected evidence as being unreliable, the reasons for this conclusion;
- f) the Respondent's response to the allegation, investigation, and any measures the Respondent has taken to rectify any breach;
- g) the conclusions reached and the basis for them;
- h) if the Investigation Committee finds the allegation to be true, an assessment of the severity, intentionality, and impact of the breach; and
- i) if applicable, any non-disciplinary recommendations.

4.25 The report will be accompanied by all records created or received by the Investigation Committee during the investigation, including copies of any transcribed interviews.

4.26 If the Protected Disclosure Advisor is satisfied that the report brings the Investigation to an end, the Protected Disclosure Advisor will provide the full investigation report to the Dean, with a copy to the Vice-President (Research) Office. If the Research involves Indigenous Peoples, the Protected Disclosure Advisor will consult with the affected community or organisation before bringing an investigation to an end.

4.27 Upon receipt of the report of the Investigation Committee, the Dean, or appropriate designate in the case of external parties, will promptly provide the Respondent, in writing, with a full copy of the Investigation report. Subject to 4.6, the names of any individuals involved in an investigation will not be disclosed by the University to any person except where disclosure is necessary for the purposes of determining interim measures or of resolving the formal report and taking any related disciplinary measures.

Appeal Process

4.28 If the Respondent is a Student, or a member of a bargaining unit, the Respondent may have recourse to appeal disciplinary action through the Student Misconduct and Academic Appeals Policy, or the grievance procedures of the applicable collective agreement. Where such recourse exists, no further appeal is available under this Process. If the Respondent does not have access to such an appeal or grievance process and wishes to appeal the decision or sanction, they must submit a notice of appeal, in writing, to the Vice-President (Research) within ten (10) Business Days after receipt of the Investigation Report. The Vice-President (Research) will assign a delegate to review an appeal in any circumstance in which the Vice-President (Research) has been actively involved in supporting the Protected Disclosure Advisor or has implemented interim measures to mitigate a risk. The delegate may be the Chair of the Research Ethics Appeal Board or another qualified individual with no real, potential or perceived conflict of interest, and appropriate expertise to review the appeal.

4.29 Grounds for such an appeal shall be limited to:

- a) the decision was made in a procedurally unfair way; or
- b) there was a reasonable apprehension of bias on the part of any member of the Investigation Committee.

The notice of appeal shall succinctly set out the complete and substantive reasons for the appeal and state on which grounds the appeal is based.

- 4.30** Within thirty (30) working days of receiving the notice of appeal, the Vice-President (Research), or delegate, will review the Investigation report and the notice of appeal to determine if there are valid grounds for appeal. The Vice-President (Research) may, but is not required to, meet with any of the Respondent, Complainant, Witnesses, or members of the Investigation Committee.
- 4.31** If the Vice-President (Research), or delegate, determines that there are no valid grounds for an appeal under the Research Integrity Policy and Procedure, the Vice-President Research will notify the Respondent in writing. The matter will be closed and the decision of the Vice-President Research is final.
- 4.32** If the Vice-President (Research), or delegate, determines that there are valid grounds for an appeal, then the Vice-President (Research) shall inform the Respondent, and others as appropriate, including the funding Agency where required, that a new investigation shall be initiated.

Outcome of the Investigation

- 4.33** If the allegation is not substantiated, the Dean will take all reasonable steps necessary to protect or restore the Respondent's reputation if it has suffered by virtue of the allegation. This shall be done in consultation with the Respondent, as may be appropriate. The steps may include, without limitation, informing any individual or entity that was aware of the matter that the Respondent has been cleared of all allegations of misconduct.
- 4.34** A Respondent who is found to have committed a breach of the Research Integrity Policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Any actions required to correct the breach are the obligation and responsibility of the Respondent/Researcher. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.
- 4.35** If the report from the Investigation Committee contains non-disciplinary recommendations for post-investigation follow-up for the University, the Respondent, or any other individual, the Protected Disclosure Advisor will refer these recommendations to the appropriate unit, department, and/or individual at the University of Calgary.
- 4.36** Following consultation with the Vice-Provost (Indigenous Engagement), and any affected community or organization, an approach aligned with an indigenous community's worldview may be followed to address harms arising from an allegation.

Reporting Requirements

- 4.37** As required by Tri-Council Framework, the Protected Disclosure Advisor will submit a report to the SRCR with respect to an investigation related to activities funded by an Agency within seven (7) months of receipt of the allegation. The report will include the following information:

- a) the specific allegation, a summary of the finding(s), and the reasons for the finding(s);
- b) the process and timelines for the investigation;
- c) the Respondent’s response to the allegation, investigation and findings, and any measures the Respondent has taken to rectify any breach; and
- d) the Investigation Committee’s decisions and recommendations and actions taken by the University.

4.38 The report to the SRCR will not include:

- a) information that is not related specifically to Agency funding and policies; or
- b) the Respondent’s personal information, or that of any other person, that is not material to the University’s findings and its report to the SRCR.

4.39 In addition to the notification in 4.37, the Protected Disclosure Advisor will determine, with assistance from the Vice-President (Research) if any other applicable Research funders or government agencies need to be notified of the outcome of the investigation under the terms of the funding agreement or any other agreement with such agency or sponsor.

4.40 The University will report annually to the Secretariat on the Responsible Conduct of Research on the total number of Complaints received under the Research Integrity Policy involving Research Funds, and the number and nature of confirmed Responsible Allegations, subject to applicable laws, including privacy laws.

4.41 Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the United Nations Declaration on the Rights of Indigenous Peoples, the University will post annually on its website information on confirmed findings of breaches of its Research Integrity policy such as the number and general nature of the breaches

5 Parent Policy

[Research Integrity Policy](#)

6 Related Information

[Tri-Agency Framework: Responsible Conduct of Research Government of Canada – Panel on Research Ethics](#)

Add titles/hyperlinks for any related documents (e.g. manuals)

7 References

8 History

Approved:	March 21, 2013
Effective:	March 28, 2013
Revised:	August 26, 2015 (Editorial Revisions)
Editorial Change:	October 31, 2018 (definition of “Student”)



**UNIVERSITY OF
CALGARY**

**GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE - For Approval**

SUBJECT: Strategic Plan – Ahead of Tomorrow

MOTION:

That the General Faculties Council (GFC) approve the strategic plan Ahead of Tomorrow 2023-2030, as recommended by the GFC Executive Committee, and authorise the Working Group to make any minor changes that may be requested by the Board of Governors and final copy editing.

PROPONENT(S)

Ed McCauley, President & Vice-Chancellor
Penny Werthner, Interim Provost & Vice-President (Academic)

REQUESTED ACTION

At the recommendation of the GFC Executive Committee, the GFC is being asked to approve the strategic plan 'Ahead of Tomorrow'.

KEY CONSIDERATIONS/POINTS

- The strategic plan 'Ahead of Tomorrow' was discussed at GFC EC on April 28, GFC on May 11, and GFC EC on May 17.
- A brief summary of the discussion at the GFC meeting on May 11th is included below:
 - Many positive comments about how much GFC members like the proposed strategic plan overall.
 - Appreciation for how thorough yet concise it is.
 - The fact that it feels just out of reach and makes us a little bit uncomfortable is a positive, as that means it's bold, ambitious, and aspirational.
 - Considerable conversation about how entrepreneurial thinking is incorporated. Discussion about how we define it, and a specific request to include a definition.
 - That it represents a future-focused university that is deeply embedded in community and focused on impact.
 - Appreciation for how much the Working Group listened through the process and that this is reflected in the proposed strategic plan.
 - Extensive support for the first-in-family initiative.
 - Discussion about how we support students to get more involved in community engagement given current constraints and barriers.
 - Question about how we will fund the cross-cutting initiatives.
 - Discussion about the positioning of creativity and cultural literacy.
 - Support for the emphasis on more deep engagement with our community and our alumni. A question about whether we can explicitly mention a desire for a sustained and ongoing commitment with retirees, given their extensive experience with our institution.
- As a result, the following changes were made to the proposed strategic plan 'Ahead of Tomorrow':
 - Inclusion of the definition of entrepreneurial thinking (a slightly modified version of the definition that was

previously developed as part of the Eyes High Strategic Plan 2017-22).

- Mentioning sustained engagement with past faculty/staff (in addition to past students, i.e. alumni).
- The discussion at GFC EC on May 17 focused primarily on specific wording choices. As a result, approximately ten language edits were made to the plan. None of these were deemed consequential and as a result have not been individually flagged. GFC EC voted unanimously to recommend the strategic plan to GFC for approval.

BACKGROUND

- The *Eyes High* Strategic Plan 2017-2022 concluded at the end of 2022.
- A strategic planning process has been underway since September 2022 to develop the next strategic plan for the University of Calgary. This process can be broken down into the following four phases:

Phase 1 – Planning and pre-consultation:

- Planning and pre-consultation occurred throughout September and October. More than 300 people from across various constituent groups weighed in on what the scope of the next strategic plan should be and how the process to develop the next strategic plan should be structured.
- During this period, an Oversight Committee was formed to provide oversight, input and feedback into the strategic planning process throughout the remainder of the academic year.
 - The membership of the Oversight Committee is listed [here](#).
- In addition, a Working Group was formed to develop draft material.
 - The membership of the Working Group is listed [here](#).

Phase 2 – Information gathering and plan development:

- Three Community Report events (Nov 14, Nov 15, Dec 5) marked an opportunity to both celebrate the success that was achieved under the banner of *Eyes High*, and simultaneously launch the development phase for the next strategic plan.
- Information was gathered using the IECB framework, which aims to strike a balance between: a) where we have been with where we want to go; b) expertise and community opinion; and c) the need to set clear, inspiring direction but also ensure the plan encompasses the breadth of activities that occur at a research university.
- **Internal** information was brought in through a review of existing strategies and plans. A summary of the documents reviewed as part of this work can be found [here](#).
- **External** information and data was brought in through a compilation of briefings that summarize the major trends expected to shape the post-secondary sector over the decade to come. These briefings can be found [here](#).
- **Consultation** occurred with 21,277 unique individuals in our internal and external community. A ‘What We Heard’ report can be found [here](#).
- **Best practices** were incorporated throughout the process through ongoing consultation with scholars and experts in areas such as strategic planning, higher education policy, and community engagement, to name a few.
- The Working Group used all of these inputs to produce a first draft of the Strategic Plan that was released to our community on March 15.

Phase 3 – Plan refinement:

- Since the release of the draft plan, an additional 2,281 unique individuals have provided thoughts and feedback.
- Overall, the feedback was quite positive. A summary of this feedback has been added to the ‘What We Heard’ document which can be found [here](#).
- The Working Group used the feedback to refine the plan. The most substantial changes included:
 - adding ‘Ahead of Tomorrow’ vision statement and framing throughout;
 - introducing a preamble that provides context and emphasize the importance of our foundational commitments to our institutional strategies;
 - restructuring of goals, mission, values into mission and values;
 - collapsing from five to four strategies;
 - adding bold and measurable objectives under each strategy;

- reducing the number of initiatives, and elevating them to a higher level (i.e. articulating the rationale behind them, but staying away from tactics);
- addition of two new initiatives (Initiative 1.5 – Expand understanding of the university’s foundational commitments; and Initiative 4.3 – Invest in process improvement and professional development); and
- a redrafting led by Working Group member Aritha Van Hirk to reduce overall length, strengthen language and bring a consistent voice.
- The updated ‘Final Draft’ Strategic Plan is included as an attachment to this briefing note.

Phase 4 – Governance process:

- While there have been many conversations with representatives from GFC and the BoG over the last eight months, we are now entering the formal governance process. The table below outlines the timing for the various meetings throughout this phase of the process.

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	GFC Executive Committee	Apr 28, 2023			X	
	General Faculties Council	May 11, 2023			X	
	GFC Executive Committee	May 17, 2023		X		
	Board of Governors	May 26, 2023			X	
	BG Executive Committee	Jun 5, 2023		X		
X	General Faculties Council	Jun 8, 2023	X			
	Board of Governors	Jun 23, 2023	X			

NEXT STEPS

- If GFC and the BG approve the Strategic Plan in June 2023, it will take effect on July 1, 2023 and run through to June 30, 2030.
- The Communications team will develop a graphically designed version of the Strategic Plan and associated wrap-around products.
- Implementation will occur through several channels, including but not limited to:
 - development of operational plans (e.g. Academic Plan, Research Plan, Community Plan);
 - implementation plans for specific initiatives;
 - alignment with budget and capital prioritization processes;
 - alignment with performance planning processes;
 - development of a performance measurement dashboard and reporting mechanism.

SUPPORTING MATERIALS

- Proposed Strategic Plan: Ahead of Tomorrow



UNIVERSITY OF
CALGARY

Start something.

DISCUSSION

2023-2030

Ahead of Tomorrow

**PROPOSED UNIVERSITY OF CALGARY
STRATEGIC PLAN - FOR DISCUSSION**

The University of Calgary's remarkable trajectory reflects audacious growth and entrepreneurial spirit. Our students, faculty, staff, and community have built a bold university in less than 60 years.

What is next? How do we look beyond tomorrow?

We face universal challenges. But we are confident we can achieve global impact while remaining true to our Calgary community and values.

This Strategic Plan shapes our journey toward 2030, considered through long-term, foundational commitments to: Equity, Diversity, Inclusion, and Accessibility; Indigenous Engagement; Mental Health; Global Engagement; and Sustainability.

Based on our unique approach to teaching and learning, research excellence, community partnership, and campus operations, this Strategic Plan and our foundational commitments together lay a mosaic for the future.

AHEAD OF TOMORROW

We inhabit a turbulent time, but we do so purposefully, ready to think and act ahead of tomorrow.

We equip students, postdocs, faculty, and staff with the ingenuity to improve the world.

We enable ambition and excellence, and we see challenges as opportunities that spark our singular mission – to dare to imagine ahead of tomorrow.

OUR MISSION

The University of Calgary powers positive change.

We strive for inimitable excellence through innovative teaching and learning, cutting-edge exploration, and community linkage.

We seek to surpass today's limitations, our quest a prosperous, compassionate, sustainable, and equitable world.

We lead change by combining academic excellence with a spirit of innovation. Knowledge creation and mobilization drive our research, impelled by action and agility.

Our current and former students, postdocs, faculty, and staff, serve today while anticipating a tomorrow that we have the power to reframe.

OUR VALUES

The University of Calgary values authenticity, inclusivity, diversity, and critical thinking.

We celebrate curiosity-driven investigation, fostering collaboration so that all can achieve their potential.

We strive for community-focused excellence and accessibility, a sense of belonging, where all can thrive.

We aim to spark global change, to solve what seems unsolvable.

We commit to recognition and reconciliation, to walking a parallel path together with Indigenous partners.

OUR STRATEGIES

Our strategies will position the University of Calgary to leap ahead of tomorrow. They address both what we do and how we do it:

- 1. Increase access to impactful and future-focused education.**
- 2. Harness the power of research and innovation to tackle society's biggest challenges.**
- 3. Locate community at the centre of all we do.**
- 4. Make our processes clearer, simpler, better than any other university.**

These strategies will be realized through cross-cutting initiatives and through the decisions we make throughout the university.

Increase access to impactful and future-focused education.

By 2030, demand for post-secondary education is anticipated to rise dramatically.

Rapid change has whetted global appetite for transfiguring knowledge, for anticipatory design and content. Lifelong learning will fuel needed capability and resilience.

To support prospective students, we will provide a variety of formats and modalities, learning that equips students to question, navigate change, and distill information. Evolving curricula will cut across unforeseen obstacles through critical analysis, creative engagement, and ethical thinking.

The University of Calgary will be equitable and inclusive to all with talent and ambition, providing students with the tools to grapple with the unanticipated and to meet challenges that do not yet exist.

OUR GOAL	To educate transformative leaders.
OBJECTIVES (2030)	A) Become #1 University, U15 in student engagement . B) Increase total enrolment by 10,000 to 46,000 (with graduate enrolment increasing by 7,000 to 15,000). C) Ensure all students are provided an opportunity for meaningful entrepreneurial and critical thinking within research and creative scholarship.
HOW WE APPROACH OUR WORK	We embrace new technologies and new discoveries to support innovation in teaching and learning.
CROSS-CUTTING INITIATIVES	1) Increase average financial support for thesis-based graduate students to highest level in the U15 research universities. Become a magnet for graduate students, attracting local, national, and international superstars, growing our economy and our reputation. (Objectives A, B) 2) Provide one semester of financial support for first-in-family students. Students from families with no university history face unique uncertainties about investment in higher education. Support can open the door to expanded educational participation across communities. (Objectives A, B) 3) Develop innovative programming that anticipates tomorrow's demands. As student population diversifies and evolves, so must current practice. Meaningful experiential learning, rich in community engagement, will prepare students for future challenges. (Objectives A, C) 4) Expand understanding of the university's foundational commitments. Facilitate access for all seeking additional education in: Equity, Diversity, Inclusion, and Accessibility; Indigenous Engagement; Mental Health; Global Engagement; and/or Sustainability. (Objective A) (also directly supports Strategy 3) 5) Expand required programming focussed on entrepreneurial thinking, research, and creative scholarship. Tomorrow's challenges will demand disciplinary expertise coupled with critical thinking and adaptable execution. Core programming will expose students to transdisciplinary windows and crossover latitude. (Objectives A, C)

Entrepreneurial thinking requires taking initiative, exchanging knowledge across disciplines, learning from experience, and resourcefully engaging with creative and cultural literacy. The University of Calgary is committed to ethical innovation that enriches lives and enhances society in every aspect.

Harness the power of research and innovation to tackle society's biggest challenges.

Knowledge generation and its benefits grow commensurate with global complexity.

Research universities exert impact by involving members of the community.

Student research opportunities provide hands-on experience, portable skills, and the chance to work with faculty on world-changing projects.

Transdisciplinary research opportunities for scholars lead to new connections and unforeseen discoveries, a chance to tackle wicked challenges, too big for one scholar or one discipline to solve on their own.

Research opportunities for community partners lead to new collaborations and solutions.

Embedding research in all we do enhances our ability to change the world.

OUR GOAL	Maximize research impact.
OBJECTIVES (2030)	A) Become #1 University in U15, research revenue per scholar. B) Grow external research revenue to \$750m a year. C) Grow our position as Canada's #1 creator of start-ups to the top 50 start-up creators in the world.
HOW WE APPROACH OUR WORK	We will embed research opportunities in all student learning. We will seek to collaborate with community partners, colleagues from other disciplines, and students.
CROSS-CUTTING INITIATIVES	1) Create research opportunities for undergraduate students. Involve students as partners, provide opportunity for paid summer research between first and second year to expand their practical knowledge of research and innovation. (Objectives A, B, C) 2) Expand transdisciplinary scholarship, partner with community on grand challenges. Improve connections between faculties and departments to enable cross-appointments, shared analysis, and collaboration. Bolster campus-wide surges of activity to address society's biggest quandaries. (Objectives A, B) 3) Develop our research and innovation ecosystem. Invest in world-class facilities, equipment, and technology to grow our research and innovation ecosystem. Expand our capacity to support more student, faculty, alumni and community endeavours. (Objectives A, B, C)

Locate community at the centre of all we do.

Surpassing tomorrow demands a deep connection to place, the multiple communities of Treaty 7, the City of Calgary, the country of Canada, and the world beyond tomorrow.

Community partnership means strengthening our connections to these interwoven spheres, to their many shared concerns, challenges and opportunities. We must be poised to perform on the global stage.

OUR GOAL	Enhance community relevance.
OBJECTIVES (2030)	A) #1 in U15, community engagement. B) 25,000 students, faculty, and staff annually contribute to community challenges. C) Engage 100,000 alumni, donors and community members on an annual basis.
HOW WE APPROACH OUR WORK	Community is included by design throughout the process.
CROSS-CUTTING INITIATIVES	1) Incentivize community engagement, expand credits, scholarships, and professional inducements for community-focused work. Engagement with local and global communities enriches learning, strengthens connection, and promotes horizon collaboration. Community connection reciprocates interconnectivity, social acumen, and practical experience. (Objectives A, B, C) (also directly supports Strategy 1) 2) Enhance engagement capacity through position of Associate Dean (Community). Fostering community-first focus is currently everyone's job but no-one's responsibility. New Faculty Associate Dean positions would track, coordinate, and enable faculty-wide and faculty-specific approaches to knowledge mobilization, partnerships, alumni engagement, and community service. (OBJECTIVES A, B, C) 3) Seed and nourish local and global partnerships with community and industry. Seek out partnerships with transformational potential, deepening community connection and elevating Calgary and Alberta on the world stage. (Objectives A, C)

Make our processes clearer, simpler, and better than any other university.

To unlock the potential of our students, faculty, and staff, we must match our entrepreneurial outlook with commensurately flexible processes and services.

OUR GOAL	Ensure it is simpler and faster to set ideas in motion here than at any other university.
OBJECTIVES (2030)	A) #1 in U15, ease, speed, and availability of services and supports. B) #1 in U15, investment in professional development for postdocs, faculty, and staff. C) 90% of students, postdocs, faculty, and staff agree they have the tools and services necessary to manage their education or accomplish tasks.
HOW WE APPROACH OUR WORK	Choose nimble, lightweight processes. Services and supports will find ways to address needs – quickly. Clear processes, information, and explanations for decisions.
CROSS-CUTTING INITIATIVES	1) Increase flexibility to change majors and register in other program’s courses, creating a more seamless student experience. To foster transdisciplinary learning and collaboration and encourage diverse passions, faculties will make more out-of-program seats available to students. (Objectives A, C) (also directly supports Strategy 1) 2) Annual re-orientation to increase awareness of services available to students, postdocs, faculty, and staff. Create recurring opportunities across portfolios to build culture, develop skills, and become aware of supports and services available in teaching, research, community partnerships, and operations. (Objectives A, B, C) 3) Invest in process improvement and professional development. Optimize student, faculty, and staff experience. Identify and address areas where improvement would have the biggest impact, invest in training to shape university operations. (Objectives A, B, C)



GENERAL FACULTIES COUNCIL
Biographies of Candidates for Election

The voting for these elections will be conducted electronically. A link to a MS Teams form, setting out equivalent to an election ballot, will be sent to General Faculties Council (GFC) members immediately following the June 8, 2023 meeting.

These are the biographies of the candidates who were nominated by the GFC Executive Committee and have agreed to stand for election:

Election of One Academic Staff Member of GFC to the GFC Executive Committee

Jacqueline Jenkins, Faculty of Arts

I am professor of English. My research and teaching address medieval performance and dramatic productions, theatre and performance history, medieval manuscript and textual studies, and women's literacy and literary habits, with a specific focus on medieval manuscripts and their utility within the communities that produced them.

I served as Head of English 2014 – 2021, and have contributed at all levels of university governance, including Faculty Merit Committees, GFC (2016 – 2019, 2009 - 10), APPC (2016 – 2019), University Senate (2017 – 2020), and UC Chancellor Search Committee (2017). Within the last ten years, I have served three terms as president of the Canadian Association of Chairs of English; three years on the Board of Directors for ACCUTE; and held a three-year term on the executive of MLA's Association of Departments of English (for North American universities and colleges).

Eduardo Cobo, Faculty of Veterinary Medicine

Eduardo R. Cobo (DVM, MS, PhD) is a NSERC research leader in innate gut defenses, primarily host defense peptides, including cathelicidins and defensins, and their roles in pathogenesis of infectious colitis and intestinal host-microbial defenses.

His research training includes a residency in animal health (National Institute for Agricultural Technology, INTA, Argentina), an MS and PhD in Comparative Pathology (U of California Davis), and postdoctoral training at U of California San Diego and U of Calgary. His lab, substantially funded by international and national operating grants, has established new roles of cathelicidin in pathogen clearance and resolution of colitis (> 60 peer-reviewed publications and book chapters) with broad ramifications for animal and human health in the development of alternative antimicrobial and immunomodulatory therapeutics.

Cobo's strategies for infectious disease control are greatly beneficial for the agriculture since the use of conventional antibiotics in food producing animals is becoming unsustainable due to the emergence of antimicrobial resistance and the presence of drug residues in the food chain.

Election of Two Academic Staff Members to the Advisory Selection Committee for a Dean of the Faculty of Law

Sarah Eaton, Werklund School of Education

Sarah Eaton is an Associate Professor, Werklund School of Education. She has served on GFC, GFC Executive, and various academic staff and decanal hiring and review committees. Eaton's research program focuses on ethics and integrity in higher education.

Nick Turner, Haskayne School of Business

Department, Faculty, Rank/Positions:

Haskayne School of Business, University of Calgary; Professor and Area Chair, Organizational Behaviour & Human Resources; Distinguished Research Chair in Advanced Business Leadership

Summary of Experience Relevant to Advisory Selection Committee, Dean of Law:

As a member of the University of Calgary community since 2015, I bring experience from serving on various dean selection advisory committees and review boards at the University of Manitoba and University of Calgary, including the Advisory Decanal Review Committee for the Haskayne School of Business, the Presidential Advisory Committee for Decanal Selection in Graduate Studies and Law at the University of Manitoba, and the Board of Directors for the Legal Research Institute at the University of Manitoba's Faculty of Law. As one of three members of the 2012 Graduate Program Review of the University of Manitoba's Faculty of Law, I have a thorough understanding of the unique challenges and opportunities faced by a law faculty. I'm committed to collaborating with fellow committee members to provide thoughtful and constructive guidance on the appointment of a new law dean to lead the faculty towards a successful future.

Juliet Guichon, Cumming School of Medicine

Dr. Guichon is an Associate Professor in the University of Calgary's Departments of Community Health Sciences and Pediatrics.

A graduate of Yale University, Dr. Guichon earned two law degrees at Oxford University where she was a Commonwealth Scholar, and a doctoral degree in law at the University of Toronto where she was elected Don of Hall of Massey College. She articulated at Torys in Toronto, was called to the Bar of Ontario and has earned the Institute of Corporate Director's designation, ICD.D. A native of Calgary, Dr. Guichon has taught also at the Universities of Toronto and Brussels.

Dr. Guichon focuses on issues arising at the intersection of law, health care, ethics, religion and journalism. She has authored academic articles, presented at international academic conferences, and is a co-author of *Pediatric Ethics: Achieving Excellence When Helping Children* (Springer Nature, 2019) and was senior editor of the book, "The Right to Know One's Origins: The Best Interests of Children of Assisted Human Reproduction" (Brussels: ASP, 2013).

A grant recipient and award-winning lecturer and seminar leader, Dr. Guichon is a frequent contributor to public debate and has been invited by the Canadian House of Commons and Senate to testify in public hearings on health matters. She has founded seven child health advocacy groups and most recently led the four-year civic effort to return water fluoridation to Calgary.

Dr. Guichon's work has been recognized by the Canadian Medical Association with its Medal of Honour, the Canadian Public Health Association with the National Public Health Hero Award, the Alberta Dental Association and College with its Honorary Membership Award, and the Alberta Medical Association with its Medal of Honour.

Fabian Neuhaus, School of Architecture, Planning and Landscape

Fabian Neuhaus is an Associate Professor at University of Calgary (UofC) with the School of Architecture, Planning and Landscape (SAPL) in Canada and he holds a secondment at the Taylor Institute for Teaching and Learning as an Educational Leader in Residence. He has received his doctorate in urban planning from UCL. His research interest are temporal aspects of the urban environment with a focus on Habitus, Type and Ornament in the sense of Activity, Technology and Memory concerning the built environment and SoTL.

Election of Two Academic Staff Members to the Advisory Selection Committee for a Dean of the Schulich School of Engineering

Brent Edwards, Faculty of Kinesiology

Dr. Edwards is an Associate Professor within the Faculty of Kinesiology at the University of Calgary with joint appointments in the Cumming School of Medicine and Schulich School of Engineering. He is the Associate Director of the Biomedical Engineering Graduate Program, a founding member of the newly formed (January 2022) Department of Biomedical Engineering, and an Executive Council Member of the McCaig Institute for Bone and Joint Health. Dr. Edwards was named Co-Director of the Human Performance Lab at the University of Calgary in 2022 and has served as Secretary General for the International Society of Biomechanics since 2017.

Jerrod Smith, Faculty of Science

Academic rank: Associate Professor (Teaching)

Discipline and areas of interest/expertise: My teaching interests include employing active learning strategies in large courses, mathematical writing and communication, and undergraduate research experiences. I am primarily responsible for teaching (and coordinating) a large first-year calculus course, discrete mathematics (an introduction to mathematical proof), and a second course in linear algebra. As of Fall 2022, I have also been involved as an instructor in the first-semester calculus course for engineers. My mathematical expertise is in the Langlands Program.

Recipient: Students' Union Teaching Excellence Award (2019-20, 2021-22, 2022-23); Faculty of Science Early Career Teaching Excellence Award (2021)

Past service: Faculty of Science Curriculum and Academic Review Committee (2020)

Current service: Faculty of Science Teaching and Learning Committee (2021-present), Department of Mathematics and Statistics (MTST) Teaching and Learning Committee (2020-present), MTST Undergraduate Program and Curriculum Committee (2020-present), Lead of MTST Curriculum Review Committee (2022-present)

Grant Gordon, Cumming School of Medicine

I am a full professor (as of July 2022) in the Department of Physiology and Pharmacology in the Cumming School of Medicine, and a member of the Hotchkiss Brain Institute. I was a Canada Research Chair Tier 2 from 2011 to 2021. I have consistently held CIHR operational funding since 2013. I am a foundation neuroscientist studying brain cell vascular interactions using animal models of health and disease, and applying advanced optical imaging technologies and transgenic mice. Over the past 5 years my group has published in excellent journals such as Neuron (IF 15), Nature Communications (x2, IF 18), Cell Reports (IF 9) and the Journal of Neuroscience (IF 6). Each publication is large body of work; thus, we do not publish very often. I have 40 peer-reviewed original publications on my CV with over 3800 citations, an average impact factor on all my publications of ~8, and an H-index of 25.

For major service roles at U Calgary, I direct the HBI's Advanced Microscopy Platform, and serve on the University Animal Welfare Committee and chair the pedagogical merit review panel for the use of animals in teaching. I also coordinate and teach in graduate courses in neuroscience and microscopy.

Yrjö Koskinen, Haskayne School of Business

Yrjö Koskinen the BMO Professor of Sustainable and Transition Finance and Professor of Finance at the Haskayne School of Business. He served as the Associate Dean of Research and Business Impact from 2017 to 2022. He has previously been a faculty member at Stockholm School of Economics, Boston University, and the University of Pennsylvania. He holds an MSc degree in Economics from the University of Helsinki, and a PhD in Management (Finance) from INSEAD. Prior to his academic career, Yrjö worked as a financial journalist, and as an economist and the head of securities markets office at the Bank of Finland.

Yrjö's main research areas are sustainable finance, corporate governance and energy transition. He is a research member at the European Corporate Governance Institute. His research has been published in the leading finance and management journals, such as the Journal of Financial Economics, Review of Financial Studies, and Management Science. He is a frequent contributor to media, such as CBC, The Globe and Mail, Financial Post, and Calgary Herald.

Yrjö currently serves on the advisory board of the Institute of Sustainable Finance at Queen's University and the steering committee for the Canadian Sustainable Finance Network. He is the past co-president of the Northern Finance Association.



GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE

SUBJECT: Global Engagement Plan Progress Report

PROPONENT(S)

Penny Werthner, Interim Provost and Vice President (Academic)
Janaka Ruwanpura, Vice Provost and Associate Vice-President Research (International)

PURPOSE

To provide the General Faculties Council with an update on the key goals of the University of Calgary’s Global Engagement Plan (GEP) that was first introduced in December 2020.

KEY POINTS

Within the ‘dashboard’ document (attached), data is provided to explain progress towards three overarching goals and targets of the Global Engagement Plan:

- 1) Increase diversity of the campus communities
- 2) Improve global and intercultural capacity within our campus communities
- 3) Enhance global partnerships

BACKGROUND

The 2013 International Strategy supported a period of rapid expansion of University of Calgary’s international activity according to strategic goals. The Global Engagement Plan 2020-2025 builds on its success, with a purposeful shift in name, to reflect our institutional commitment to meaningful global partnerships.

The Global Engagement Plan 2020-25 made some strategic adjustments appropriate to the current context. It uses the priorities of the Academic and Research Plans to help guide our global initiatives for enhanced strategic coherence. Within the goals, new and ambitious targets build on our achievements to date, and a series of accompanying metrics track our progress.

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
X	General Faculties Council	June 8, 2023				X
	Board of Governors	June 23, 2023				X

NEXT STEPS

Until 2025, the GEP will guide our priorities and resources as we work toward our international goals in support of Framework for Growth and our vision to further develop the University of Calgary’s reputation as a global intellectual hub. The GEP will continue to transform our institution and how we engage globally by focusing on strategic partnership development, faculty-driven initiators of international activities, incentivized activities, building capacity and sustainability.

An Annual International Impact Report is currently being developed based on the information presented in the supporting materials and will be posted on the UCalgary International website over the summer.

SUPPORTING MATERIALS

Slides highlighting each goal of the Global Engagement Plan Progress Report (2022).



UNIVERSITY OF
CALGARY

Global Engagement Plan

Progress Report 2022

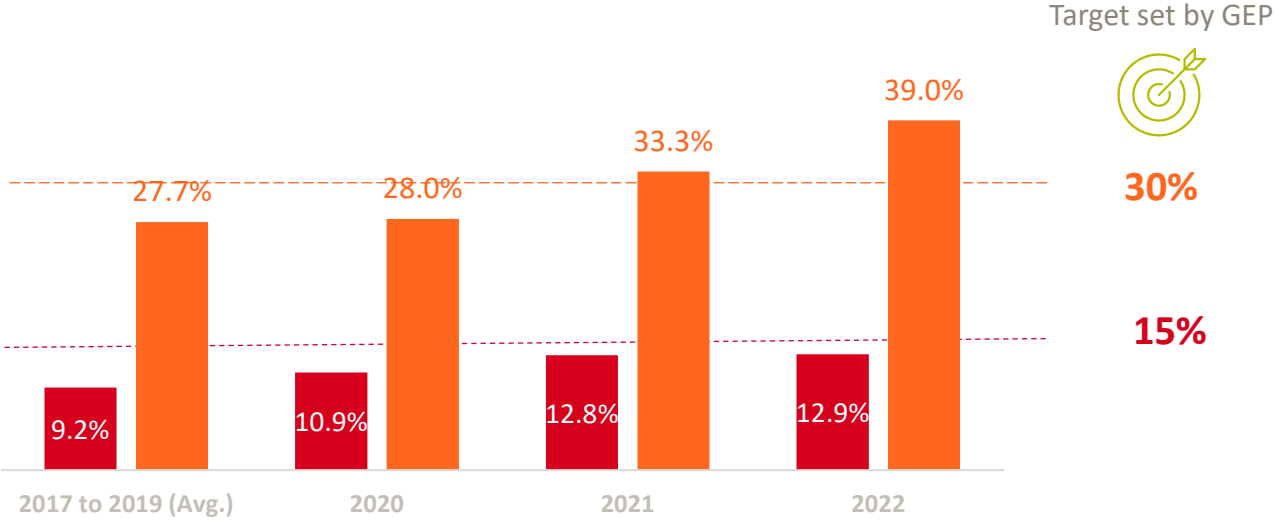
Dr. Janaka Ruwanpura
Vice-Provost and Associate Vice-President Research (International)

June 2023

Increase Diversity of the Campus Community



Undergraduate & Graduate International Students

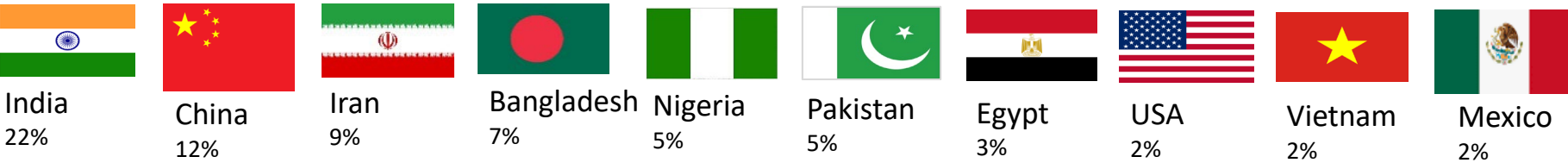


In the last three years, on average, **15%** of our newly hired **Academics** were international

In 2022, **42%** of our **Postdocs** were international

English as a Second Language students have increased from **1250+** in 2020-21 to **5000+** in 2022-23

Top Countries of Origin for International Students in 2022

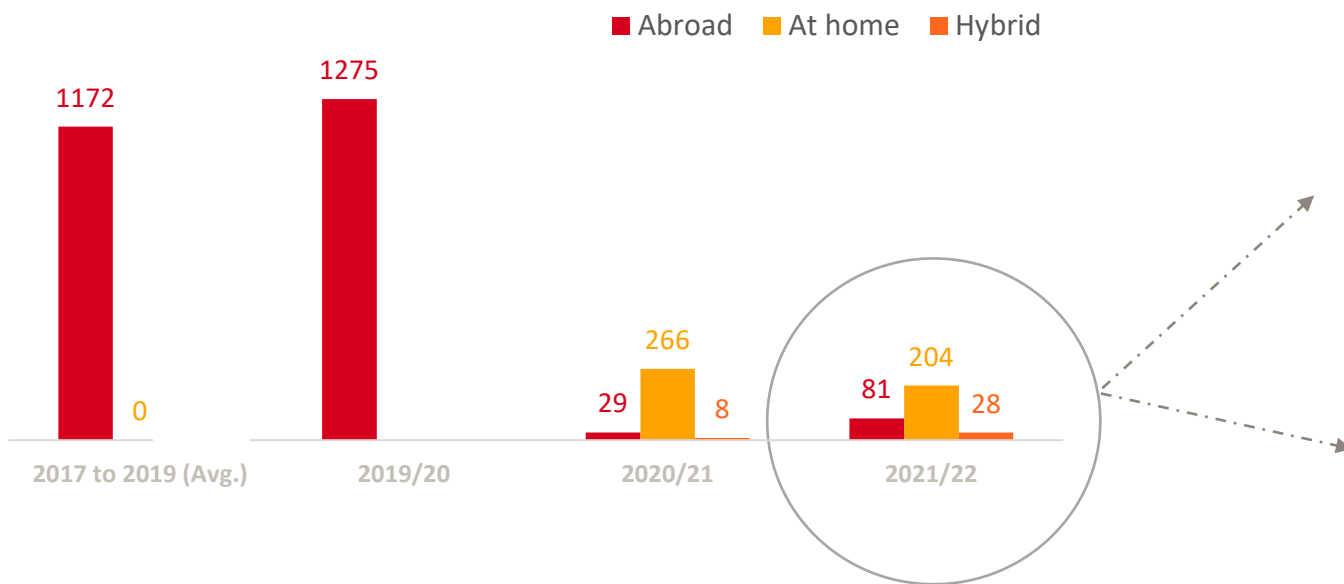


Improve Global and Intercultural Capacity within our Campus Communities



Outgoing

Undergraduate (UG) - Global Learning Experiences (GLE)



504 UG incoming exchange students in the last 3 years

\$1.5M in UG Funding support in last 3 years

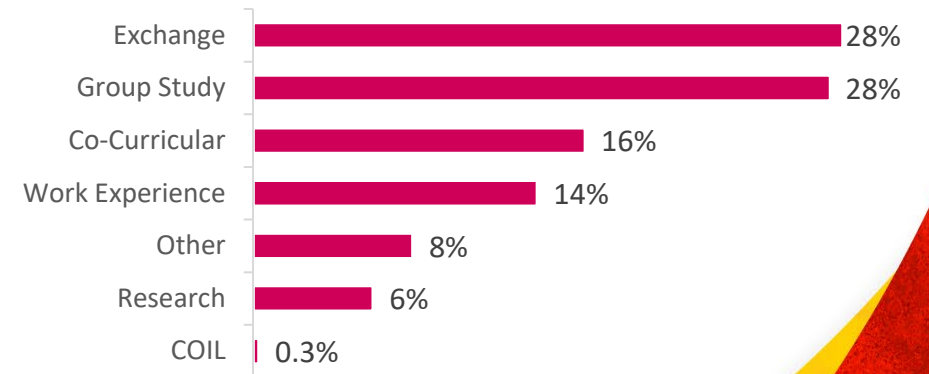
2019/20 to 2021/22

Outgoing

2021/22 (UG) GLE Top 5 Countries



2021/22 (UG) GLE by Programs



Enhance Global Partnerships

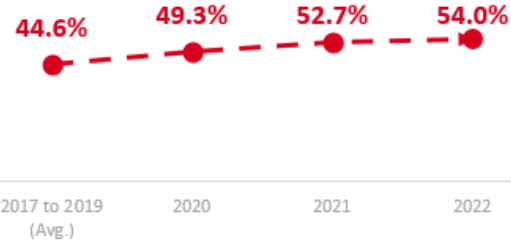
International Research & Global Development



International Research

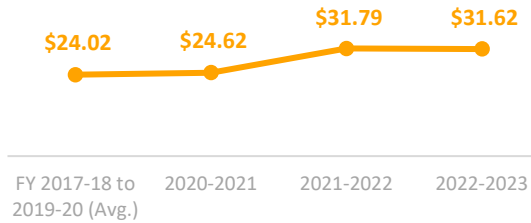
5%

increase in **Internationally Co-authored Publications** since 2020



29%

increase in **International Research Revenue** since fiscal year 2020-21



760+

International Research Agreements in 2022-23

Global Development

11
Projects

\$6M+
Project Value

59
Academics Involved

105
Students Involved



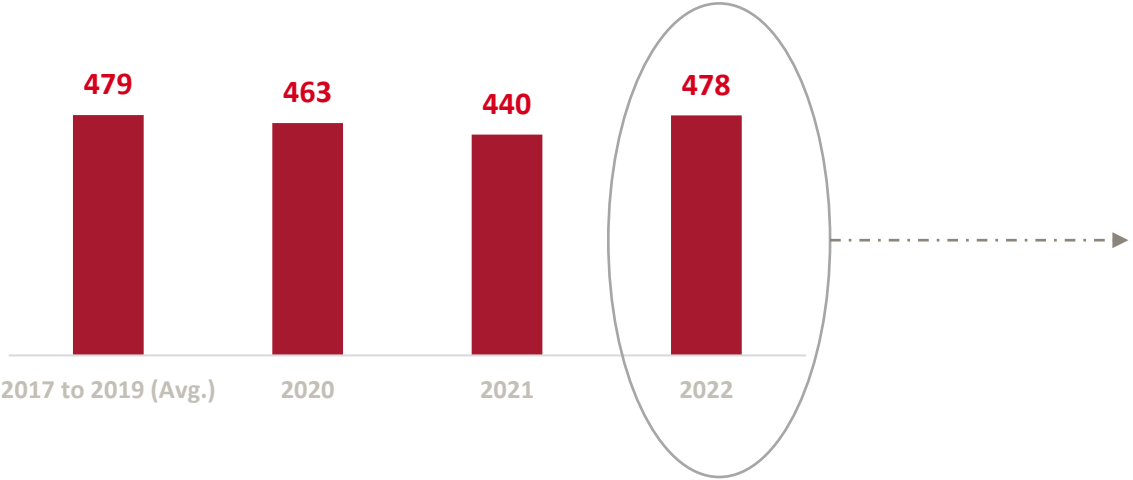
Enhance Global Partnerships



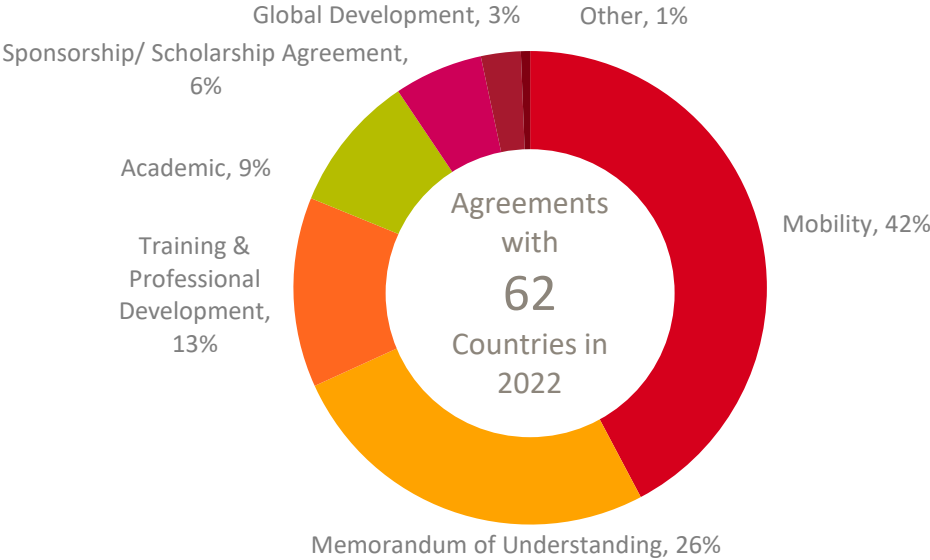
UNIVERSITY OF CALGARY

Academic Agreements & Missions, Delegations, Events

Academic Agreements (#)



2022 Agreement Types



Missions, Delegations, Events





**UNIVERSITY OF
CALGARY**

**GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE**

SUBJECT: International Research Update

PROPONENT(S)

Dr. Janaka Ruwanpura, Vice-Provost and Associate Vice-President Research (International)

PURPOSE

To provide an update on the activities, priorities, and highlights of international research undertaken to date by the team.

OVERVIEW

Under the Global Engagement Plan, Goal 3 – Enhance Global Partnerships, the Strategic Global Initiatives (SGI) unit within UCalgary International has been established in 2021 to support international research and innovation partnerships. Two positions within the unit are cross appointed with Research Services Office.

SGI provides strategic and operational insight that supports the overall advancement of global research at the University of Calgary. SGI is responsible to develop and support international research and innovation partnerships and activities with the objectives of expanding innovation opportunities and global research connections; increase research revenue from international funding agencies; increase engagement of faculty in international research collaborations and enhance capacity for global partnerships and knowledge transfer.

KEY POINTS

The attached presentation covers the following:

- 1) A suite of services for researchers to establish, develop, and expand their international research collaborations
- 2) Data Analytics and International Intelligence
- 3) Internal grants to support international research / External international grants
- 4) Highlights, Priorities & Funding Strategy
- 5) Outcomes and Impact

BACKGROUND

Since September 1, 2020, Dr. Ruwanpura serves both the Vice-Provost and Associate Vice-President Research (International), as a dual report to both the Provost and Vice-President (Academic) and Vice-President (Research).

Through our existing research themes and our focus on matching our research strengths with opportunities, we leverage our expertise and entrepreneurial mindset to increase international collaborations, international research funding, strengthen our reputation and expand opportunities for knowledge transfer for global impact. The focus on our research themes supported by University's strategy to drive our global research partnerships is complemented by individual scholars who are global leaders in their fields.

The University of Calgary is committed to partnering with like-minded institutions that share our commitment to innovation and entrepreneurship, and where possible, that have new research centres, institutes, and labs to be funded and supported by external and global industrial organizations, while fully dedicated to creating social change and scientific innovation that translate research excellence into positive societal and community impact. These partnerships are institutions that share our focus on increased connectivity between academia, industry, government, and non-government organizations and, like the University of Calgary, are fostering the next generation of talented thought leaders through innovation and entrepreneurial thinking and are transformational for the University of Calgary.

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	Research and Scholarship Committee	2023-05-18				X
X	General Faculties Council	2023-06-08				X

NEXT STEPS

We are looking at continuing to increase the awareness of our unit while also supporting the priorities and goals for internationalization of each of our faculties, schools, and research priorities.

We are also committed to increasing our international publications, international research agreements and international funding applications and sources.

SUPPORTING MATERIALS

A Power Point Presentation slide deck



UNIVERSITY OF
CALGARY

International Research Update

Research & Scholarship Committee Meeting

May 2023

Janaka Ruwanpura
Vice-Provost and Associate Vice-President Research (International)

Strategic Global Initiatives (SGI)



(NEW)
**GLOBAL ENGAGEMENT
PLAN 2020-25**

1. Increase diversity of the campus community
2. Improve global and intercultural capacity within our campus communities
3. Enhance global partnerships

FOUNDATION
Research & Academic Priorities

The priorities of the Academic and Research Plans drive the strategic foundation for all global partnerships, including academic, research and global development.

Goal #3 - Enhance Opportunities for Global Partnerships

- ✓ research & innovation partnerships
- ✓ global development partnerships
- ✓ training & professional development partnerships (revenue generation)

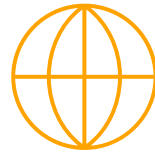
#5 Top research
university in
Canada for
sponsored
research
funding (2022)



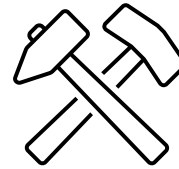
One Stop for International Research & Innovation



Create awareness of our new(ish) unit



Liaise with international institutions and offices



Tool development (IFARM, researcher database)



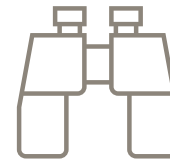
Create funding mechanisms and measure Key Performance Indicators



Communicate funding opportunities, including internal grants



Coordinate and Advise with RSO



Identify and Prioritize new opportunities



Demystifying international research funding application

Data Analytics & International Intelligence

Collab. by Fac.



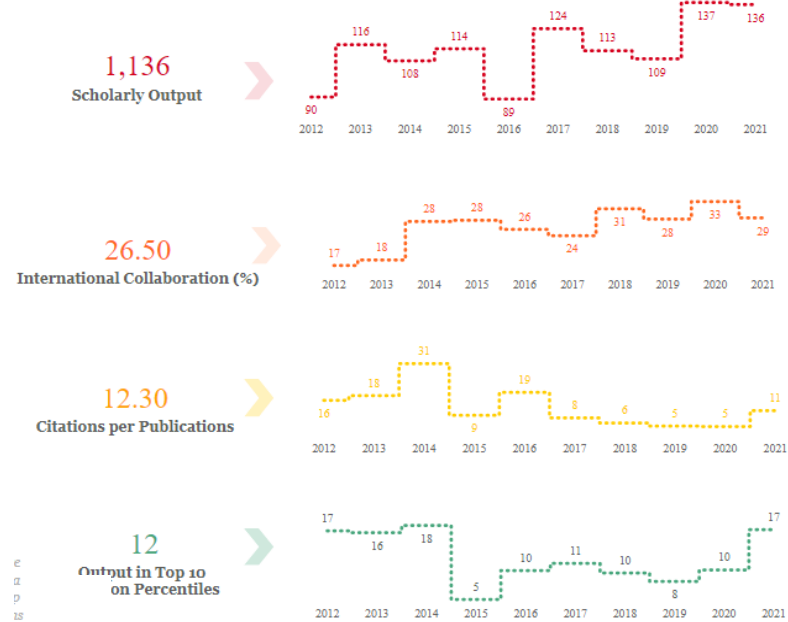
Collab. by Inst.

Collab. by Auth.

Collab. by Sub.

Scholar Stats.

Top100_CoPub_Auth



Institution	Country	Sector	Co-authored publications	Citations	Citations per Publication
University of New South Wales	Australia	academic	19	453	23.80
Hamad Medical Corporation	Qatar	medical	18	233	12.90
Griffith University Queensland	Australia	academic	13	204	15.70
Murdoch Children's Research Institute	Australia	academic	13	500	38.50
King's College London	United Kingdom	academic	11	166	15.10
Pennsylvania State University	United States	academic	10	263	26.30
University of California at Irvine	United States	academic	7	151	21.60
University of Alabama at Birmingham	United States	academic	6	110	18.30
Qatar University	Qatar	academic	5	114	22.80
University of Melbourne	Australia	academic	5	36	7.20

VPR and UCI - Grants



VPR Catalyst Grant

Focus

- Catalyze research initiatives that will lead to substantial external funding
- Intended to support **well-defined early-stage** research activities

Value

- \$1,000 - \$15,000
- up to \$20,000 awarded in rare cases

Duration

- 6 months

Transdisciplinary Connector Grant

Focus

- Exploration of questions, challenges, and opportunities that demand transdisciplinary approach
- Foster **new connections** among scholars, trainees, and external partners

Value

- up to \$10,000 - Initiating stream
- up to \$20,000 - Consolidating stream

Duration

- 6 and 12 months

Int'l Research Partnership Workshop Grant

Focus

- Develop and deliver a research workshop with an international research partner university
- Intended to **initiate or advance new projects** and to identify and develop funding opportunities

Value

- \$10,000

Duration

- 6 months

Deadline

- Annual: October opening, November deadline

Deadlines: May 15, August 15, November 15, February 15

International Research Funding Opportunities

- Large grants:
 - International opportunities through Tri-Council Agencies
 - International Joint Initiative for Research in Climate Change Adaptation and Mitigation (2023)
 - Bill & Melinda Gates Foundation (USA)
 - Temasek Foundation (Singapore)
 - Strengthening Canada's ties with ASEAN – various funding opportunities
 - National Science Foundation (USA)
 - National Institutes of Health (USA)
 - Horizon Europe



UNIVERSITY OF
CALGARY

International Research Highlights

International Research & Innovation

Connecting UCalgary to global partners to engage in collaborative international research and innovation initiatives



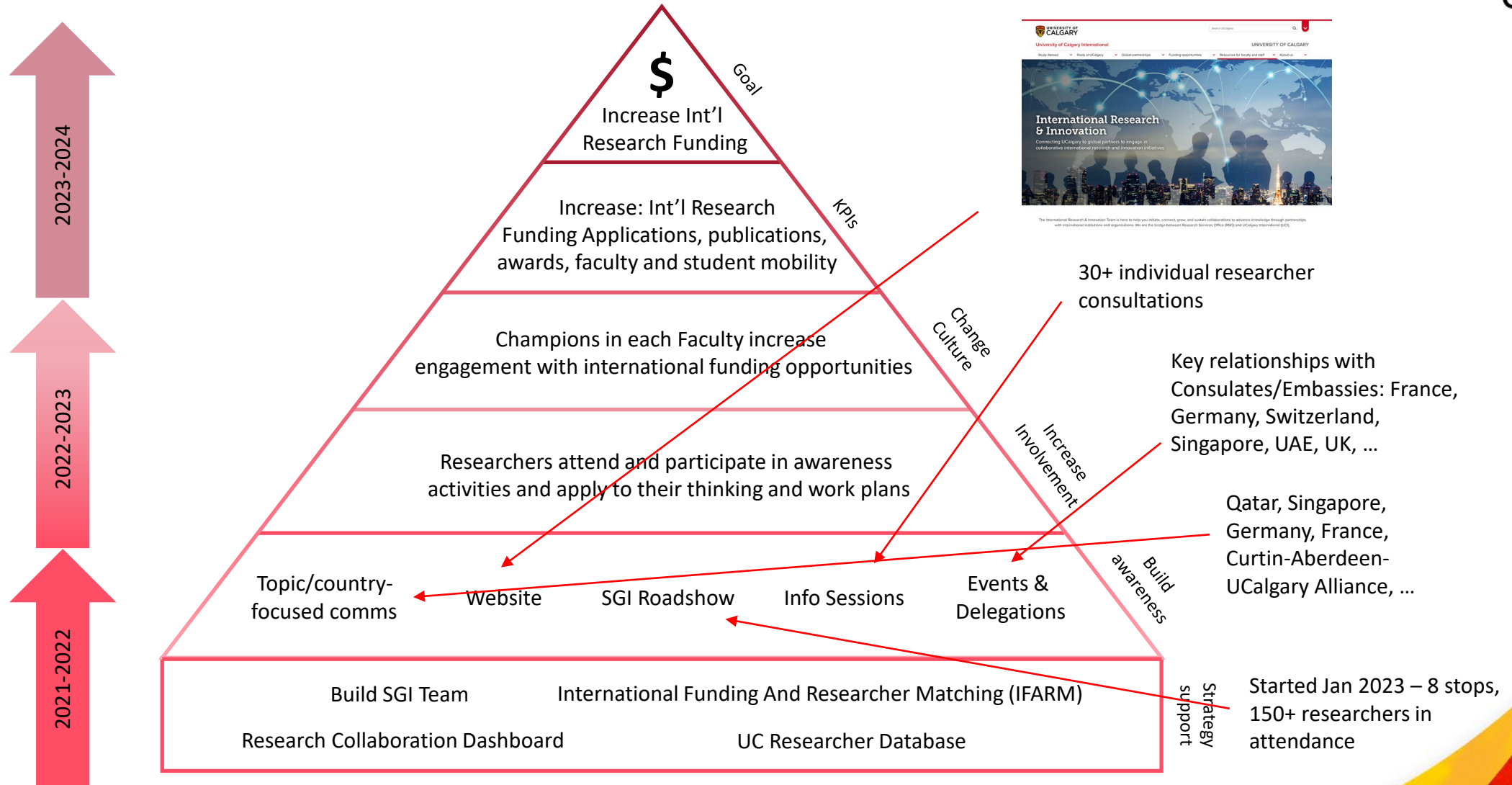
Working with RSO – Research Security

- New team as of Q1 2023, Director Marth Wallace
- Team to support grant application
 - Due Diligence
 - Compliance, Risk Mitigation and Special Investigations
 - Education and Outreach
- "We're here to support researchers and ensure you can continue to do leading-edge research, while protecting your IP, individual safety, and national security".
- Principles: Country agnostic, Maintain academic freedom, Maintain access to global talent, Ensure the reputation of UCalgary is upheld
- "It's ok if your research is of a sensitive nature - we want to provide helpful and timely information about protecting your research"
- Contact us at the beginning of the application process: researchsecurity@ucalgary.ca

International Research Priorities and Funding Strategy



UNIVERSITY OF CALGARY



Outcomes and Impact

International Research



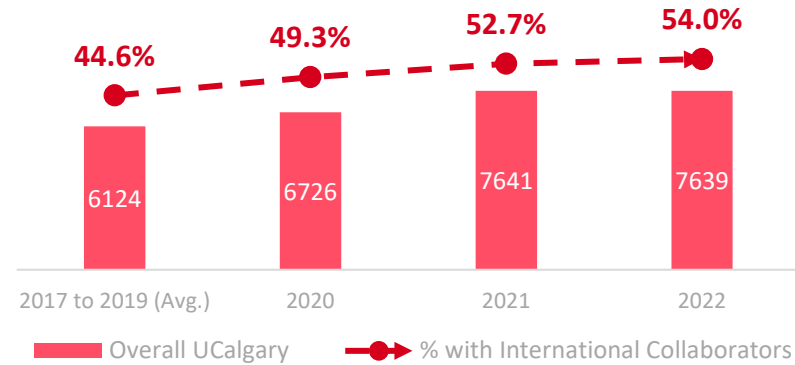
UNIVERSITY OF
CALGARY

International Publications



5%

increase in International
publications since 2020



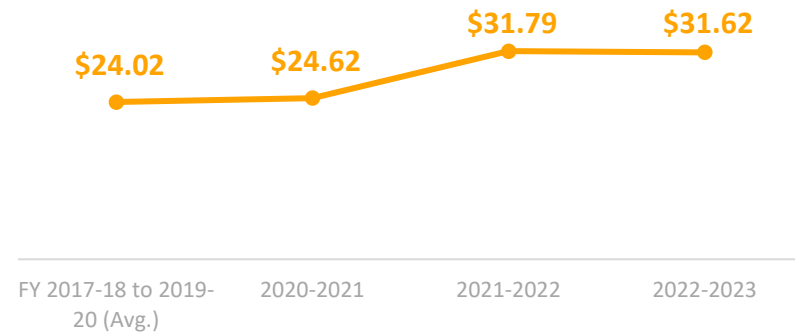
760+
International
Research
Agreements in
2022-23

International Revenue (Millions)



29%

increase in Int'l Research
Revenue since FY 2020-21





UNIVERSITY OF
CALGARY

GENERAL FACULTIES COUNCIL INFORMATION BRIEFING NOTE

SUBJECT: Innovation Ecosystem Update

PROPONENT(S)

John Wilson, President and CEO, Innovate Calgary
Steve Larter, Associate Vice-President (Research & Innovation)

PURPOSE

To provide the General Faculties Council with an update of the progress of the Innovation@UCalgary ecosystem and strategic priorities.

OVERVIEW

Innovation@Calgary is the ecosystem that supports innovation activities at UCalgary, bridging the transition from discovery through to delivering solutions for society. The ecosystem is broad, includes activities and support functions in faculties and departments and programs and support functions in several innovation resource nodes accessible to all at the University. These nodes include Innovate Calgary; Hunter Hub; W21C; Impact; CDL; VPR Office and support activities in faculties.

We work with our campus community, the Calgary community, government, industry, and other institutions to accelerate innovation and the delivery of practical solutions for the benefit of society. Solutions take many forms, including via businesses, knowledge engagement networks and performance, and non-profit models, among others.

UCalgary is actively growing our innovation ecosystem and promoting a culture of innovation and change making. The groups and programs in our ecosystem have made significant accomplishments over the past year.

KEY POINTS

The Innovation nodes aim to work in an integrated supportive manner and through working with faculty members, staff, postdoctoral innovators and students from across the academy we have continued to help build momentum for driving Innovation at UCalgary, specifically:

Innovate Calgary FY22-23

- 350 PIs with applied research, invention, and startup projects
- 55 applied research partnerships supported
- 98 invention disclosures
- 9 new patents filed
- 44 new revenue bearing agreements
- 17 new companies formed

Hunter Hub for Entrepreneurial Thinking

- UCalgary Council on Innovation and Entrepreneurial Leadership: CIEL members advise and advance UCalgary's innovation strategy to achieve its vision of becoming the most entrepreneurial university in Canada. The CIEL meetings in October 2022 recognised the substantial ecosystem progress.

- As of March 31, 2023, the Hunter Hub has facilitated 3,842 experiential learning placements as part of its commitment under the Government of Canada's Innovative Work-Integrated Learning Initiative. These placements, delivered nationwide, in partnership with 11 post-secondary institutions allow students to foster entrepreneurial thinking skills and other transferable skills while working within innovation ecosystems and interacting with emerging technologies.
- The Launchpad program wrapped at the end of March with the Liftoff! Pitch Competition. 100 participants completed the Launchpad program, representing 12 of 14 faculties, and were made up of undergraduate and graduate students, postdocs, faculty, staff, and alumni. The aim of the Launchpad program is to foster entrepreneurial thinking skills. Participants enter the program with a business or social venture idea and learn how to take the idea from conception to impact. 8 Launchpad teams competed in Liftoff finals.
- The Ascent program is currently running with 10 teams (20 participants) including undergrad and graduate students, post docs, faculty, staff, and alumni. All teams have an early stage business in the prototyping phase and are working to advance their business forward and launch it into the market. 50% of teams went through the Launchpad program and all other teams have completed at least one other entrepreneurship program outside of the University. The Ascent program concludes with a pitch competition at Inventures allowing the top 8 teams to showcase the research and innovation coming out of the University of Calgary to a global audience.
- Map The System (MTS) - 49 student participants representing 22 teams across 11 faculties conducted deep research and human centered design on a social or environmental issue of their choosing as the first step towards innovative solutions. This is a collaboration with MRU and Innovate Calgary. 9 Map The System teams competed at UCalgary Campus finals and a spot in Canadian national semi-finals
- Supported 17 innovators with the Hunter Hub Startup Fund, totaling approximately \$17,000

AEIR, E2I, Now Innovating Podcast:

Supporting Invention and Creation in the Academy -- Priming the front of the funnel and telling the stories.

Three synergistic programs and vehicles have been developed, seeking to help support novice innovators add complementary innovation streams to their research group activities and more generally broadcast innovation stories to the campus and the world. The programs are now in their second year and include the AEIR-academic entrepreneurs-in-residence program which supports and links to our Evolve to Innovation program (E2I), which provides a vehicle for PI and postdoc research teams to expand their programs through innovation activities. These programs are run jointly by Innovate Calgary and the VPR office with integrated support and participation of other innovation nodes including W21C and the SPARK program and Hunter Hub and its Experience Ventures program and MITACS support. The "Now Innovating" podcast is delivered through the VPR office by Julia McGregor.

- **The E2I program** has created a new pathway for researchers (postdoc/grad student + Prof.) from any department to translate successful research outcomes into practical solutions. E2I fellows engage in an eight-month experiential innovation curriculum, including mentorship from experienced entrepreneurial faculty members, community entrepreneurs, hands-on workshops, guidance, and a cash allowance. The programs' second year was another success story with an award presentation event on April 25 celebrating the achievements of over 30 research teams / innovators.
- **The AEIR program** supports the transition from discovery through invention towards innovation. Its added successful academic entrepreneurs in front of the existing innovation ecosystem funnel bringing new teams into the ecosystem. Three new academic entrepreneurs were added this year bringing the team to 6. The AEIR mentors are all experienced researchers and startup co-founders and talk to people in their own language and from the experienced academic innovator context. The team is also working closely with CDL Rockies-energy/agriculture/prime streams and the CDL Vancouver-climate stream to link with their "nurture programs" and the AEIR team successfully supported 5 UOC team into successful entries in CDL.
- **Now Innovating:** a podcast examining the trials and tribulations of innovation and innovators-now in its second series!

UCEED

UCeed is a group of early-stage investment funds, backed by philanthropic support, accelerating UCalgary and community-based startup companies to advance problem solving research, create jobs, and fuel the economy.

UCeed is a critical piece of UCalgary's focus on entrepreneurial thinking, invention and innovation, education and community impact.

Based on three fundamental commitments, UCeed is:



Accelerating innovation by unlocking existing investments in R&D.



Enriching education through entrepreneurial learning.



Integrating communities and the University with entrepreneurship and innovation.

UCeed marked a significant milestone for the University, completing the link between discovery, entrepreneurship, and impact. It is the largest university-based group of startup investment funds in the country, which today includes a Child Health, General Health, Social Impact and Student Fund. In the 30 months of operation UCeed has \$19 million under management and \$5 million invested into 38 UCalgary and community-based start-ups.

To date we have already seen significant impact from UCeed activities as described below:

- 125+ students engaged in UCeed activities in support of our mandate to provide world-class learning opportunities for students.
- 205+ principal investigators and top research talent engaged across 46 academic units and 18 industries.
- 300+ jobs created by portfolio companies subsequent to UCeed investment.
- \$63+ million dollars raised by portfolio companies from third party investors following UCeed investment.

University Innovation Quarter

Located adjacent to UCalgary, the University Innovation Quarter (UIQ) is a newly revitalized innovation and research cluster formerly known as Research Park. Innovate Calgary will serve to be the innovation agent of the UIQ. Innovate Calgary has developed a high-impact and scalable Innovation Hub model that will activate the UIQ.



Space

Programs and Expert Support

Tech Licensing Office

Corporate Partners

Equipment/Technology

Fellowships

Academic Entrepreneurs in Residence

UCeed Fund

The design of the component elements of a Hub ensures a complete set of offerings to shepherd technology from labs towards its practical application.

Life Sciences Innovation Hub

The LSIH is a 130,000 sqft research facility created in 2019 to support early-stage life sciences companies. It offers access to containment level II labs, rapid prototyping labs, and over \$3 million in equipment. At the LSIH, startups have access to a roster of over 100 advisors and consultants, seed funding through UCeed, non-dilutive funding, regulatory affairs support through IMPACT, and a host of discounts through our partners.

Performance metrics of companies supported by the LSIH:

- \$236 million of revenue (2019 – 2022)
- \$62 million of R&D conducted (2019 – 2022)
- 486 jobs created (2019 – 2022)
- 270 companies supported (2019 – 2022)

Social Innovation Hub

The SIH is a home for social innovators and entrepreneurs, researchers, and community organizations to collide. SIH aims to foster social innovation and social startup development by focusing on relationships, co-creation, and leveraging the expertise, experience, and input of diverse entrepreneurs and partners to advance change.

Our vision is a more resilient, inclusive, and equitable innovation ecosystem that drives real impact on today's complex social problems. We deliver on this by providing our clients with coaching, deep expertise and broad

networks, a digital studio, and access to the capital and the broader innovation ecosystem. The ultimate impact the SIH is working towards is a strong pipeline of skilled, diverse entrepreneurs with evidence-based solutions to social problems who can effectively move from prototype to first investment.

Working closely with innovation partners from the University of Calgary and the innovation ecosystem, the SIH serves students, researchers, social purpose organizations, and entrepreneurs as a place to launch and grow.

Some early performance indicators include the following:

- Total social ventures supported in beta launch: 117
- Diverse entrepreneurs engaged and supported (women-led): 52
- Partners engaged in program delivery and support: 18
- \$ core investment: \$2.65M (Prairies Economic Development Canada)
- \$ investment into social venture development and investment readiness: \$1M (Government of Alberta)
- # Innovation events: 23 events, 700+ participants. Examples include:

Energy transition center

The Energy Transition Centre is a partnership between Prairies Economic Development Canada, Innovate Calgary, the University of Calgary, Avatar Innovations, and energy sector leaders. It is a one-of-a-kind initiative that creates, de-risks and high-grades energy transition technologies through novel team formation processes, mentoring, and scale-up advice. The Transition Centre, located in the Ampersand building in the heart of downtown Calgary and the local energy sector, includes an incubation space, commercialization programming, and investments in start-ups. In addition, its central location is a networking and ideas exchange venue for the broader energy transition community.

Some early performance indicators include the following:

- Incremental private investment raised: \$1.3M investment fund raised by Avatar Innovations
- # HQPS trained: 287 industry professionals and graduate students trained in energy transition technology commercialization
- # Technologies tested/prototypes developed: 8 energy transition technologies were tested/simulated for development and commercialization
- # Graduate students trained: 14 UC graduate students, received a total \$70k Transformative Talent Internships
- # SMEs benefitting from Centre programming: 23 Centre member SMEs and pre-seed start-ups provided Centre programming
- # Innovation events: 20+ events, 900+ participants including the following:
 - Leadership in Energy Transition, School of Public Policy, University of Calgary, October 26, 2022
 - Advanced Ionics for Sustainable Energy Laboratory (AISEL) group symposium, University of Calgary, Nov 9, 2022
 - Honourable Jonathan Wilkinson, federal minister of natural resources, for an industry roundtable on Nov 17, 2022
 - A monthly innovation and knowledge dissemination series – Tech Tuesdays

ROUTING AND PERSONS CONSULTED

<u>Progress</u>	<u>Body</u>	<u>Date</u>	<u>Approval</u>	<u>Recommendation</u>	<u>Discussion</u>	<u>Information</u>
	Research and Scholarship Committee	2023-05-18				X
X	General Faculties Council	2023-06-08				X

SUPPORTING MATERIALS

PowerPoint presentation

RESEARCH AND INNOVATION UPDATE

Innovation Update, June 2023

John Wilson, CEO Innovate Calgary

Steve Larter, Associate VP Research-Innovation

Ecosystem - 2020s +++ Innovation@UCalgary CULTURE CHANGE

Innovation@UCalgary-HUNTER HUB; W21C;
INNOVATE CALGARY; CDL + RESEARCH GROUPS

Academy-
Education, expertise,
entrepreneurship
training(HBS,CREATE-ME2)
**Research groups-,
invention, solutions,
innovation**



Pervasive Interest in
Solutions-
**Many Startups
Researcher Hires**



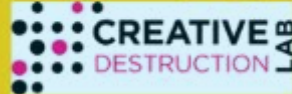
Innovate Calgary

Active integration through
programming(E2I;AEIR;
FELLOWSHIPS): Talent
development. IP domain
simplification. UIQ

Investors, community,
Governments,
Community innovation
platforms

UCEED

Rockies, Climate, Ag, Quantum



**UOC Top Research
Startup creator
2020-2022**



Milana Trifkovic

Envicore
Scientific Director & Co-Founder

**INVENTION:
SEEING SOLUTIONS IN KNOWLEDGE**

Innovation Ecosystems

*The LAKE OF
INNOVATION IS PUMPED DRY*

Let's create impact.
Industry partnerships
Intellectual property
Entrepreneurial support services

Invention Disclosure

U of C Invention Disclosure Form

The University of Calgary, as required by the University of Calgary Intellectual Property Policy, to disclose inventions and disclosures created using University facilities and resources. This disclosure is based on the authority of the President of the University and the Vice-Chancellor of the University. It is required to allow the University to conduct its own research and receive funding for research under the Intellectual Property Policy.

This Intellectual Property Policy of the University encourages researchers to commercialize their discoveries and offers researchers two options:

- 1. Researchers can engage the services, including full management and financial support, of the University's innovation and commercialization service provider, Innovate Calgary, or
- 2. Researchers can proceed independently, utilizing their own resources by completing certain documents through the Research Services Office.

PART A PART B PART C PART D PART E PART F PART G PART H PART I PART J PART K PART L PART M PART N PART O PART P PART Q PART R PART S PART T PART U PART V PART W PART X PART Y PART Z PART AA PART AB PART AC PART AD PART AE PART AF PART AG PART AH PART AI PART AJ PART AK PART AL PART AM PART AN PART AO PART AP PART AQ PART AR PART AS PART AT PART AU PART AV PART AW PART AX PART AY PART AZ PART BA PART BB PART BC PART BD PART BE PART BF PART BG PART BH PART BI PART BJ PART BK PART BL PART BM PART BN PART BO PART BP PART BQ PART BR PART BS PART BT PART BU PART BV PART BW PART BX PART BY PART CZ PART CA PART CB PART CC PART CD PART CE PART CF PART CG PART CH PART CI PART CJ PART CK PART CL PART CM PART CN PART CO PART CP PART CQ PART CR PART CS PART CT PART CU PART CV PART CW PART CX PART CY PART CZ

Please enter the appropriate information in the appropriate boxes.

<https://innovatecalgary.com/forms/invention-disclosure-form/>

	UofC	MIT
Faculty involved in innovation (%)	15-20%	15-20%
R&D Funding	ca \$500m	ca \$750m
Industrial Funding (% of R&D)	7% (3X US ave)	25%
Inventions pa	150	700
Cost/Invention	ca \$3m	ca \$1m
Graduates in startups	? But growing UOC #1 Research based startups	25% in 2 startups by graduation

E2i+AEIR=PRECEED: What does it do?

1. Research/Interest/Recruit/Support/

Discovery-New knowledge-Invention/Creation-New concepts/Tools-
New insights! RESEARCH+INNOVATION=INNOVATION+RESEARCH

2. Invention/ Prototype Support

e2i, Hunter Hub, Spark, W21C, Maker Multiplex, Zetta Digital Design Lab, AEIR. Programs and labs designed to help translate research into something of value.

3. Venture Creation/ IP Education

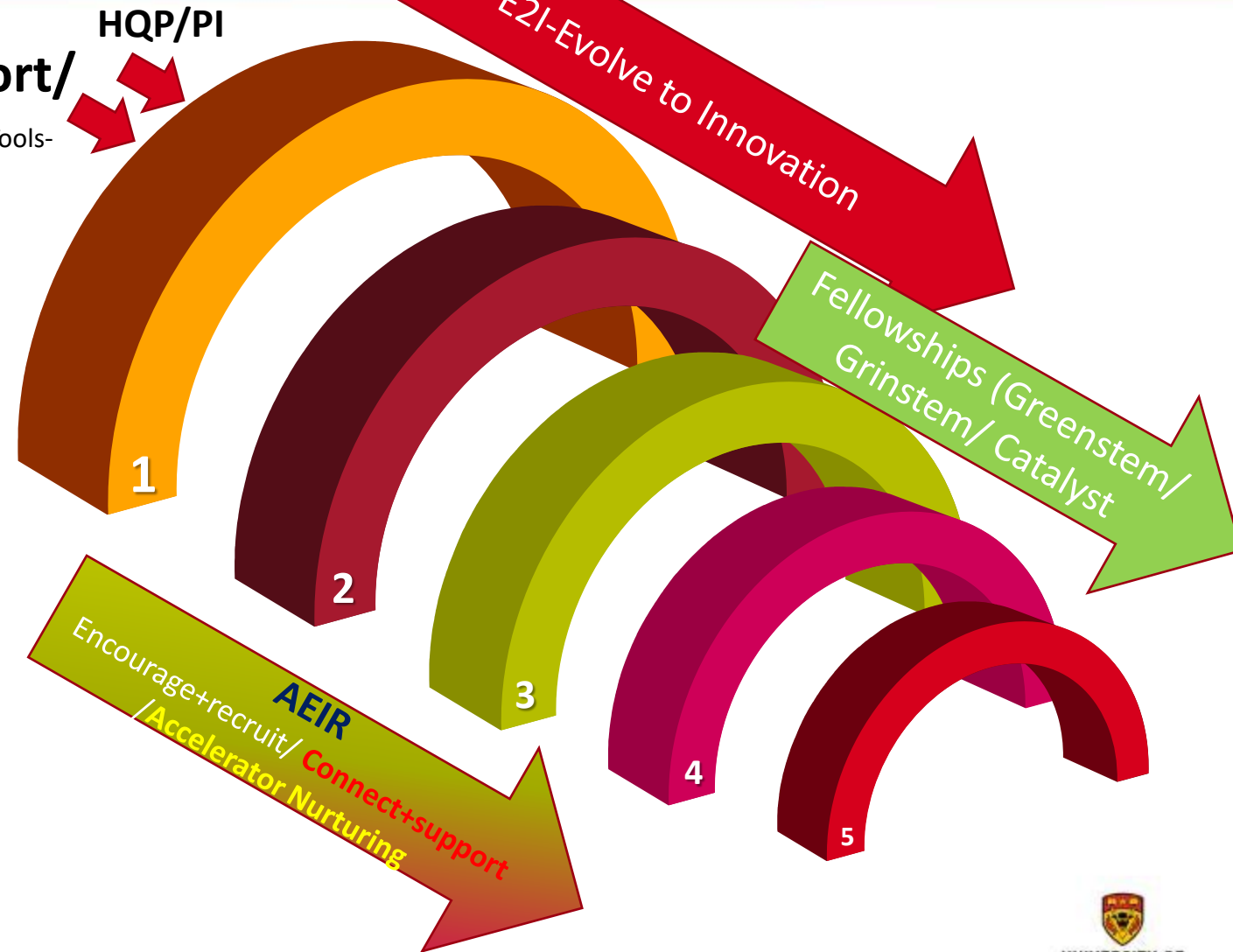
Innovate Calgary, Hunter Hub, Impact, AEIR, Supports generally focus on IP strategy, patents, viable startup creation and technology commercialization.

4. Incubation/Acceleration

Research 2 Social Innovation Incubator (R2SI), CDL Rockies, AEIR. Activities focus on optimizing sustainable business models and customer acquisition. Angel investment stage.

5. Scaling/Growth

Usually happens off campus. Focused on compounding market traction activities most likely fueled by additional investment. Exits provide revenue to help repeat the process.



E2i: Jane Desrochers; Jeff Ryzner; Adam Cragg/ AEIR: Adam Pidlisecky; Paula Berton; Jagos Radovic et al

Land of invention and innovation

Valley of death

Research Mountains

Recruit, interest, invent, upskill
100+ Innovators
E2I

Hone Tech/
 Venture model
20 AEiR Teams



UCEED
 Rockies, Climate, Ag, Quantum


10 Viable Ventures

Academic Entrepreneurs in Residence



Dr. Victoria Hodgkinson
 Cumming School of Medicine
 Director, Lumio Inc.



Dr. Lian Willetts
 Cumming School of Medicine
 Innovator of the year, Falling Walls



Dr. Belinda Heyne
 Faculty of Science
 Founder Hnu Materials



Dr. Paula Berton
 Schulich School of Engineering
 CSO, CalAgua Innovations



Dr. Jagos Radovic
 Faculty of Science
 CEO, Carbon Cyclists



Dr. Adam Pidlisecky
 Faculty of Science
 CEO, 3Point Science

KPI's: AEiR for 2022

Value stories: Named innovators/ researchers that share their journey university reputation

9*

UCalgary graduate students accelerate online security with quantum physics

Quantum cryptography research offers solution to securing digital information

Venture journey:

5 Ventures accepted into CDL



University equity portfolio:

8* companies added

Quantized Tech
Bee Energy
Fluidome
Crocus Biomedical
MHCombiotic
Seequence2Script
....

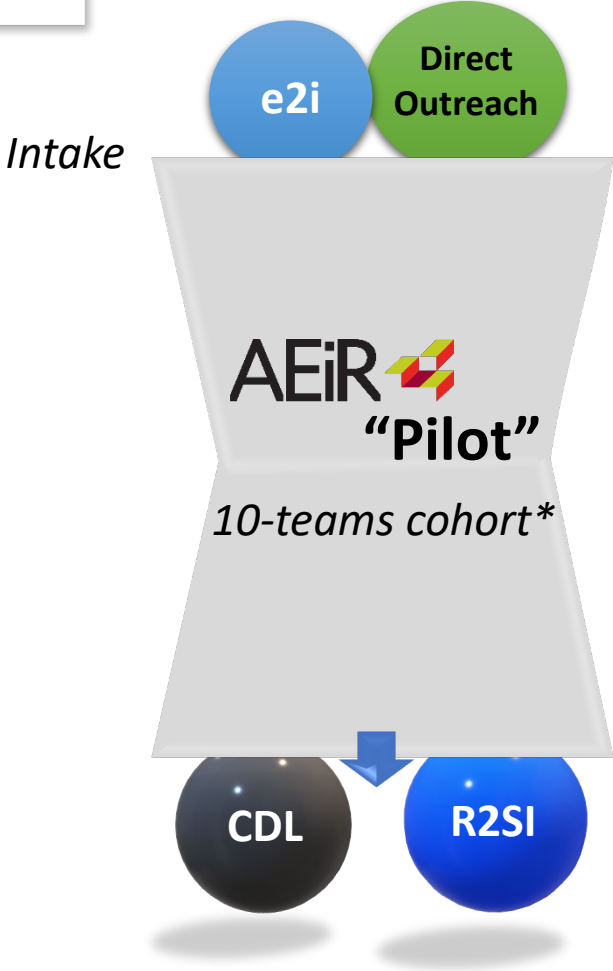
Enterprise Value creation:

2022: \$5 million

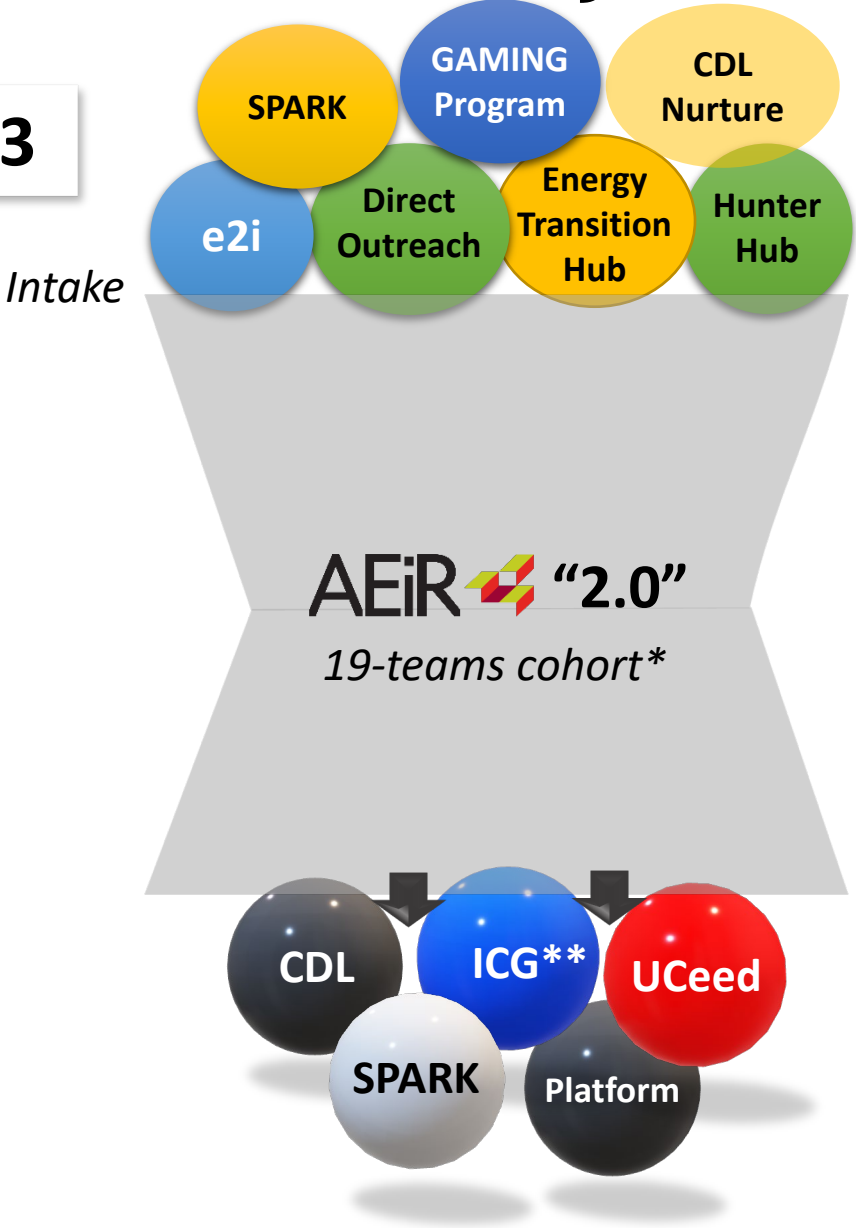
Private investment creating a validated enterprise value

AEiR Recap – Integration with the Innovation Ecosystem

2022



2023

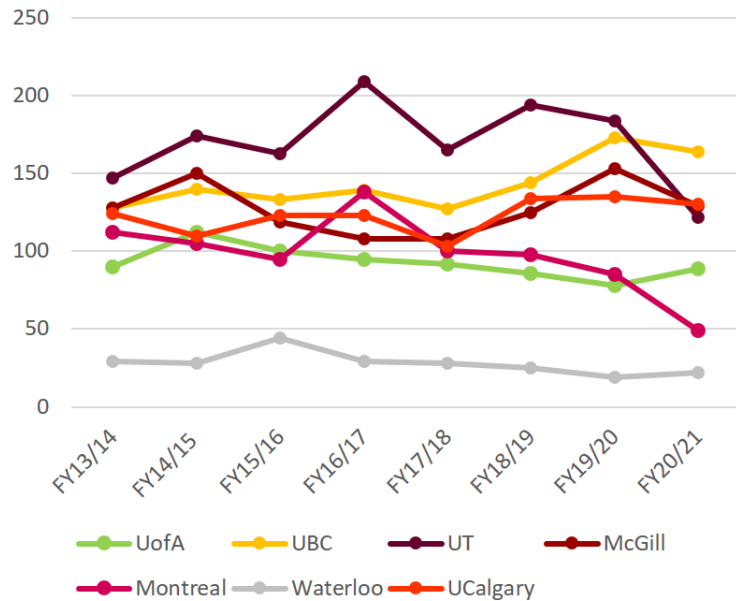


* Continuous Intake; ** ICG: Innovation Catalyst Grant (Alberta Innovates)

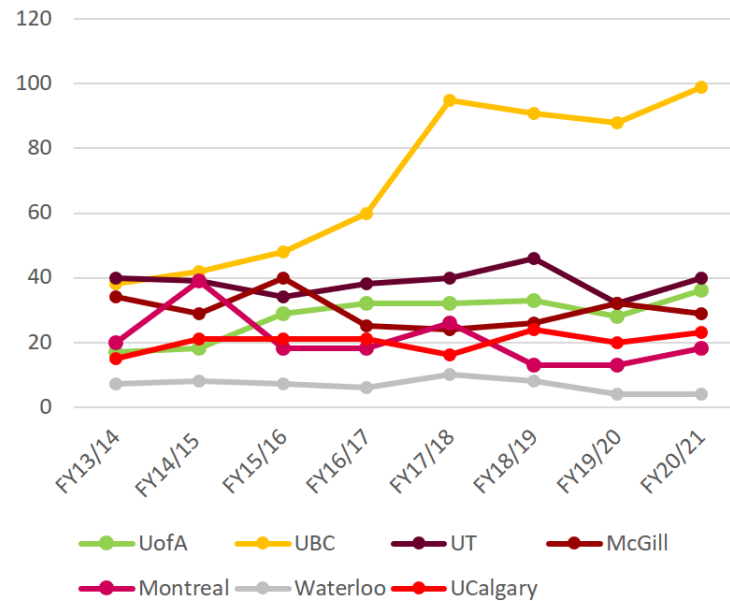
Canada's Six Largest Research Universities + Waterloo Performance Comparisons (IP - traditional metrics)



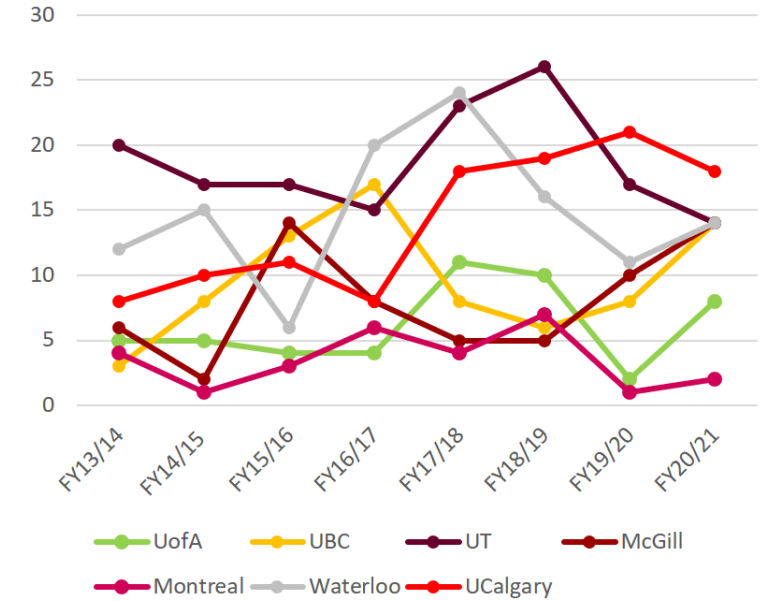
Disclosures



Licenses/Options

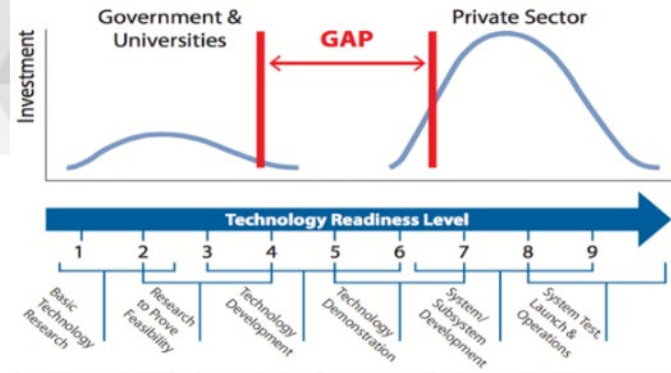


Startups



• Metrics FY 21-22

- 350 PIs engaged, 55 research partnerships supported, 98 invention disclosures,
- 9 new patents filed, 44 revenue bearing agreements, 17 new companies formed



UCeed Impact

5 Funds Launched

Since September 2020, targeting priorities for our institution and the communities we serve.

314 Jobs Created

Subsequent to UCeed investment, more than 300 jobs were created by 38 portfolio companies.

125 Students Engaged

In addition to the UCeed Haskayne Student Fund, we have partnered with the National Social Value Fund and the BLG Business Clinic to provide world-class learning opportunities for students.

205 Principle Investigators Engaged

Top research talent across 46 academic units and 18 industries.

\$63 Million Dollars

in additional capital raised following UCeed investment.

\$19 Million Dollars Under Management

\$5 million invested YTD.

38 Portfolio Investments

In child health and wellness, general health, social impact and energy.

The Life Sciences Innovation Hub

331 
Companies Supported

486 
Jobs Created

79 
Companies Housed at
the LSIH

\$69M 
Spent on R&D

\$236M 
Revenue Generated

\$62M 
Dilutive Capital Raised
by LSIH Companies

6000+ 
EA Hours Used

**701+
days** 
Meeting Room Usage

40,603.5 
Hours of Equipment
Time Booked (since
2021)

The Social Innovation Hub

The Social Innovation Hub supports innovators solving social problems find the right resource, at the right time, to help launch and scale their impact.

Guided by an inclusive approach to innovation, we are growing:

- who is seen as an innovator,
- what is seen as innovation,
- our understanding of how innovation scales, to harness the power of innovation for good.

The Social Innovation Hub opened its doors in **January 2023**, and is prototyping and piloting programs and supports to create proven, investor-ready social ventures that will further **economic resilience** through **inclusive diversification**.

SIH memberships model launching in **June 2023**.

Strategic Pillars

- Accelerate knowledge translation and tech transfer to unlock the power of social r&d to help solve today's pressing social problems
- Catalyze social enterprise development that generates both economic and social impacts
- Develop leaders in social entrepreneurship and innovation
- Build social sector capacity, collaboration and resilience

Key Metrics (Oct 2021-Dec 2022):

- Social ventures supported in beta: 117
- Diverse entrepreneurs engaged and supported (women-led): 52
- Partners engaged: 18
- Youth skills development and work placements: 29

Expanded Metrics (2023+):

- Diverse entrepreneurs engaged and supported (women, BIPOC, rural-led)
- Jobs and revenue generated by company
- Ecosystem connections, particularly among underrepresented innovators

Energy Transition Centre

Building the future of energy through collaboration

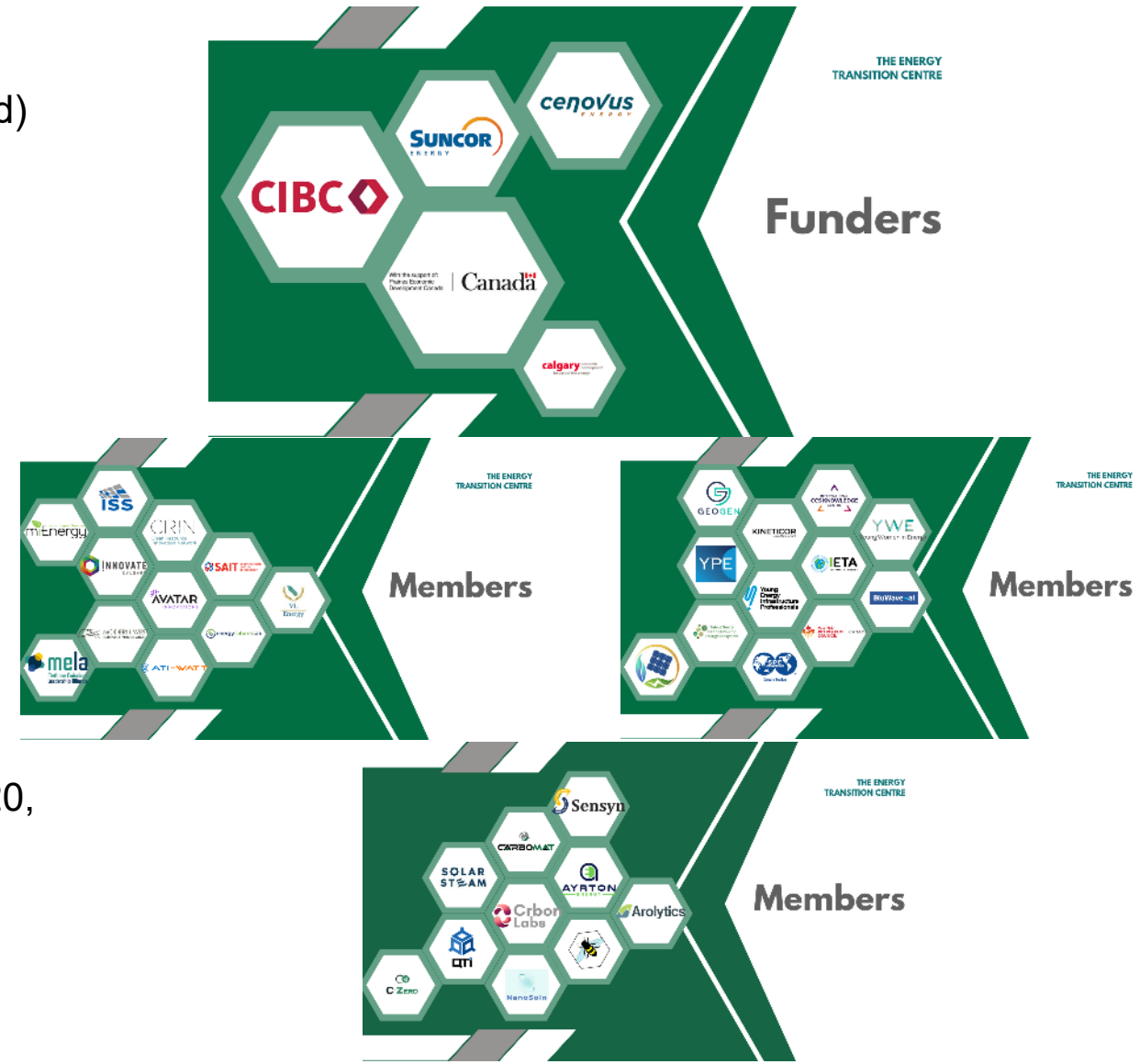


Energy Transition Centre

- Partnership between university, industry and government
- 17,000 sqft of Innovation space, downtown Calgary
- Thoughtfully designed energy entrepreneurship curriculum
- Industry needed and validated solutions
- World-leading research commercialization and technical advisement

Early Outcomes

- Incremental private sector investment \$1.3M (Avatar fund)
- # tech prototypes = 8
- # HQPs trained = 287
- # grads trained (WIL) = 14
- # postdocs trained (WIL) = 3
- # SMEs assisted = 23
- # jobs created (direct) = 6
- Expenditure on R&D = \$50k
- # members 30
- # innovation events hosted >20, >900 participants





Questions?



GENERAL FACULTIES COUNCIL EXECUTIVE COMMITTEE
Report to General Faculties Council
for the meeting held May 17, 2023

The following report is submitted on behalf of the General Faculties Council (GFC) Executive Committee (EC).

Appointment Work

Naming of the Academic Co-Chair of the Academic Program Subcommittee

The EC voted to name Amy Burns, Werklund School of Education, as the Academic Co-Chair of the Academic Program Subcommittee (APS), for a term until June 30, 2025 or until her time on the APS ends, if that is sooner.

Naming of the Academic Co-Chair of the Teaching and Learning Committee

The EC voted to re-name Barbara Brown, Werklund School of Education, as the Academic Co-Chair of the Teaching and Learning Committee, for the 2023-2024 meeting year.

Appointment of One Member of GFC to the Senate

The EC named, in rank order, members of the GFC to be approached by the University Secretariat to serve as a GFC representative on the Senate. The first individual to agree to serve will be deemed appointed by the Committee.

Olive Chapman, Werklund School of Education, agreed to serve and was deemed appointed.

Nominations for Election by GFC of One Academic Staff Member of GFC to the GFC Executive Committee

The EC named, in rank order, academic staff members of the GFC to be approached by the University Secretariat to stand for election to the GFC Executive Committee. The first two individuals to agree to stand for election will be presented on a ballot for the election of one by the GFC. The election will be held electronically following the June 8, 2023 GFC meeting.

Nominations for Election by GFC of Two Academic Staff Members to an Advisory Selection Committee for a Dean of the Faculty of Law

The EC named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Selection Committee for a Dean of the Faculty of Law. The first four individuals to agree to stand for election will be presented on a ballot for the election of two by the GFC. The election will be held electronically following the June 8, 2023 GFC meeting.

Nominations for Election by GFC of Two Academic Staff Members to an Advisory Selection Committee for a Dean of the Schulich School of Engineering

The EC named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Selection Committee for a Dean of the Schulich School of Engineering. The

first four individuals to agree to stand for election will be presented on a ballot for the election of two by the GFC. The election will be held electronically following the June 8, 2023 GFC meeting.

Appointment of the Chair, Research Ethics Appeal Board

The EC voted to re-appoint Chris Sears, Faculty of Arts, as the Chair of the Research Ethics Appeal Board, effective May 20, 2023 and for a three-year term, as recommended by the Vice-President (Research).

Appointment of a GFC Representative to the University of Calgary Properties Group (formerly West Campus Development Trust Board)

The EC voted to re-appoint Scott Radford, Haskayne School of Business, as the GFC representative on the University of Calgary Properties Group (formerly the West Campus Development Corporation Board), for a three-year term effective June 18, 2023.

Proposed Strategic Plan – Ahead of Tomorrow

The EC reviewed the current draft of the proposed Strategic Plan. The EC heard that recent revisions include adding a definition of the word ‘entrepreneurial’ that clarifies the meaning of this for the University and including recognition of former faculty and staff as valuable contributors to the University’s mission.

The EC expressed satisfaction with the definition of ‘entrepreneurial’ and its placement within the document, and expressed appreciation that one of the Strategy 1 initiatives now reads “required programming” rather than “required courses”.

Discussion resulted in the following suggestions:

- Strategy 1 preamble: revise “ethical entrepreneurialism” to “ethical thinking”
- Strategy 1, Objective B: clarify the target enrolment numbers
- Strategy 1, Objective C: revise to read “opportunity for meaningful entrepreneurial and critical thinking”
- Strategy 1, Initiatives: reorder/renumber these to move “create required programming focussed on entrepreneurial thinking” after “develop innovative programming” and “expand understanding of the University’s foundational commitments”, and then revise the required programming initiative to read “expand” rather than “create” as some programs already exist
- Strategy 4, Objective A: revise “ease and speed of services and supports” to read “availability, ease and speed of services and supports”

In response to questions, it was reported that:

- There will be a dashboard setting out metrics relating to the Strategic Plan, including enrolment data starting from now and showing progress toward targets
- The University’s commitment to equity, diversity, inclusion and accessibility and *ii' taa'poh'to'p* (the University’s Indigenous Strategy) will be reinforced in communications relating to the Strategic Plan

The EC voted to recommend that the GFC approve the Strategic Plan ‘Ahead of Tomorrow’, in the form provided to the EC and with the requested amendments.

Review of the Draft June 8, 2023 GFC Agenda

The EC reviewed the draft agenda for the June 8, 2023 GFC meeting.

The EC was informed that:

- A demonstration of CourseDog integrated academic operations platform is added to the agenda, for information
- The Student Experience Report will be given in the Fall rather than at the June 8 meeting

Prepared by the University Secretariat on behalf of Ed McCauley, Chair, and Penny Werthner, Vice-Chair



UNIVERSITY OF
CALGARY

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council
for the meeting held on May 1, 2023

This report is submitted on behalf of the Academic Planning and Priorities Committee (APPC).

Approval of the Creation of the Towards Truth and Reconciliation Certificate (Non-Credit), Continuing Education

The APPC reviewed a proposal to create a non-credit Towards Truth and Reconciliation Certificate (TTRC), Education. The APPC learned about the structure of the program, the role of the Office of Indigenous Engagement in developing the TTRC and the broad consultation done on the proposal.

The APPC discussed: the opportunities the TTRC will create to increase intercultural capacity within the University, the rationale for the proposed grading scheme and using letter grades versus pass/fail, and the budget, revenue sharing model and staffing strategy.

APPC provided suggestions for CE to continue to assess the grading system and if there is an actual demand for traditional letter grades from the target audience.

The APPC approved the creation of the non-credit Towards Truth and Reconciliation Certificate, Continuing Education.

Approval of the Creation of the PhD in Transdisciplinary Research and the Master of Transdisciplinary Research (thesis-based) Degrees, Faculty of Graduate Studies

The APPC reviewed the proposals to create a thesis-based PhD in Transdisciplinary Research and a thesis-based Master of Transdisciplinary Research. The APPC learned that these new programs align with the University's strategic direction to enhance transdisciplinary education and scholarship. Students enrolled in a transdisciplinary thesis-based master's and PhD will be focused on building knowledge between, across, and beyond traditional disciplines to address problems in new ways and generating solutions for various stakeholders. It was emphasized that these programs will ensure community members are involved from the start and throughout the research to enhance real and positive impacts on society.

The APPC were provided with an overview of the structure of the programs, including the various pathways for students, noting that the administration of the programs will be well resourced to support faculty and students. How these programs will integrate the University's Indigenous Strategy and Equity, Diversity, Inclusion and Accessibility commitments into course content, instruction, and knowledge engagement was also reviewed.

The APPC discussed anticipated enrolment, the different pathways, and sub-specializations available to students, community member involvement, in particular, the requirement for there to be a non-academic committee member on supervisory committees and advising and supports for students.

The APPC suggested that the proposal would benefit from including concrete examples of how the program will do its best to support students from equity-deserving groups and the inclusion of more details on the governance structure.

The APPC approved the creation of the PhD in Transdisciplinary Research and the Master of Transdisciplinary Research (thesis-based) degrees. The proposals will next proceed to the Ministry of Advanced Education for final approval.

**ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council
for the meeting held on May 15, 2023**

Approval of the Creation of a Master of Finance, Haskayne School of Business

The APPC reviewed the proposal from the Haskayne School of Business (HSB) to create a Master of Finance (MFin) program. The APPC learned that the creation of the MFin will address a programming gap both in the province and in the HSB to prepare financial professionals who require a strong focus on analytical, quantitative, and computational skills.

The APPC discussed the overload teaching model being proposed for this program, how the program intends to utilize sessional instructors, such as industry, the hiring strategy and how it intends to address inclusion and equity issues, the budget, and Indigenous engagement within the program.

The APPC suggested the Budget section of the proposal could be strengthened from including further detail on the hiring strategy.

The APPC approve the creation of a Master of Finance program. The proposal will next proceed to the Ministry of Advanced Education for final approval.

Approval of A. The Suspension and Eventual Termination of the Latin American Studies Programs (Major, Co-op, and Minor) and B. The Creation of an Embedded Certificate in Latin American Studies

The APPC reviewed the proposals from the Faculty of Arts to suspend and terminate several Latin American Studies programs and to create a new Embedded Certificate in Latin American Studies.

The APPC learned that the rationale for the suspension and termination of the Latin American Studies (LAST) Major and Minor programs is tied to declining program enrolment and overreliance on sessional instructors. However, it was explained to the APPC that there is strong enrolment in the LAST core courses, which motivated the Faculty of Arts to develop the Embedded Certificate, which will provide greater flexibility for students to continue to explore and receive credit for their studies in this area.

The APPC discussed the staffing plan for the Embedded Certificate, experiential learning opportunities for students who register in the Embedded Certificate, and student advising.

The APPC commended the Faculty and Department of History for reimagining and adapting the LAST programming to reflect the transdisciplinary nature of LAST and given the relevance of these courses at the University to reflect the strong connection between Calgary/Canada and Latin America. The APPC approved the proposals. The suspension and eventual termination of the LAST major will be submitted to the Ministry of Advanced Education for final approval, the APPC is the final approval authority for the suspension and termination of the Minor and Co-op programs and the creation of the Embedded Certificate.

Approval of the Termination of the Minor in Adapted and Therapeutic Physical Activity, Cumming School of Medicine

The APPC reviewed the Cumming School of Medicine (CSM) proposal to terminate the Minor in Adapted and Therapeutic Physical Activity. The APPC learned that the termination is being proposed as a result of dwindling student interest and the ability for students to gain access to similar knowledge through the Minor in Community Rehabilitation and Disability Studies.

The APPC discussed the historic student enrolment in the Minor, the limited expertise of faculty members within the Community Rehabilitation and Disability Studies area to continue to offer this program, and alternate programs available to students with an interest in this area Minor in Community Rehabilitation and Disability Studies.

Approval of the Suspension and Termination of the Bachelor of Community Rehabilitation and Disability Studies (Distance Pathway), Cumming School of Medicine

The APPC reviewed the CSM proposal to suspend and terminate the Bachelor of Community Rehabilitation and Disability Studies (BCR DS) (Distance Pathway). The APPC learned that it has been challenging for the Community and Rehabilitation and Disability Studies area to continue offering a BCR DS Distance Pathway in addition to the on-campus BCR DS four-year and two-year post-diploma programs, and that there have been several issues in the distance pathway, which impact the ability of the program to provide a quality student experience because of complexities relating to course-progression for this group of students, one of them being a lack of online breadth course options for students.

The APPC discussed: the supports in place for existing students to complete their program; the benefits of being transparent about which programs offer a quality learning and student experience, while also acknowledging disappointment for closing an accessible pathway related to disability studies; the value of having a large selection of breadth course options offered in different modalities, and the role of the Faculty of Arts to offer these courses; budgetary impacts and decisions, which may be impacting different Faculties abilities to offer breadth courses in multiple modalities; and the different reasons for suspensions and terminations of University programs.

The APPC approved the suspension, effective Fall Term 2023, and eventual termination of the BCR DS (Distance Route).

Prepared by the Secretariat on behalf of Penny Werthner, Co-Chair, and Tara Beattie, Academic Co-Chair

TEACHING AND LEARNING COMMITTEE
Report to General Faculties Council
for the meeting held May 16, 2023

This report is submitted on behalf of the Teaching and Learning Committee (TLC).

Update from the Course Feedback Implementation Working Group (CFIWG) – Feedback on Draft Core Questions

The TLC received a presentation on the recent work of the CFIWG, and heard that:

- In response to the feedback given by the TLC at its April meeting, the CFIWG has decided to recommend fewer core institutional questions and to reduce the question themes to four
- The CFIWG will be recommending the core institutional survey questions and the total number of questions in the new course feedback survey, but will not be recommending the Faculty, program, and instructor questions

The TLC discussed the draft core institutional survey questions:

- Seeking additional comments from students for some questions will provide valuable information
- The proposed question *“The feedback I received contributed to my learning”* could read *“received from the instructor and teaching assistant”* or *“feedback on my assessments”* to ensure that students understand what this question is asking about. It was also suggested that this question could have a display logic for additional comments as understanding how the feedback was or was not useful would be valuable.
- The proposed question *“I was encouraged to think about the subject matter from multiple perspectives”* may not apply to all courses, especially those involving controversial subject matter or content that does not have perspectives (e.g. low level Math). The presenters remarked that this question is intended to determine if students are feeling supported in discussing and thinking critically about course content, but that if this is not clear the CFIWG will reconsider this wording. It was suggested that the question could read *“integrate and think deeply about”*.
- The proposed question *“I felt welcomed and included in the classroom environment”* could read *“learning environment”* or *“course”* since some courses have labs and tutorials in addition to classroom learning
- Students may not understand what is meant by concepts such as ‘learning environment’ and ‘integrate learning’
- The proposed question *“I felt welcomed and included in the classroom environment”* could receive negative responses from students feeling gender or racial discrimination, and become less focused on the course. Additionally, a student who reports a negative experience may expect action to be taken and because the University has a commitment to Equity, Diversity, Inclusion and Accessibility thought needs to go into what will be done with the information received from the survey. The presenters noted that this goes beyond the scope of the CFIWG, but observed that the current University Student Ratings of Instruction (USRI) survey does say that *“feedback is shared with your course instructor and their academic leaders”*.

- Instructors would like feedback on their approach to teaching and the effectiveness of their teaching methods, and the proposed questions may not provide this. The presenters remarked that students may not have the knowledge to assess teaching strategies and pedagogy, and it was observed that some less effective teaching methods (e.g. lecture) are liked by some students and some effective teaching methods (e.g. flipped classroom) are not liked by some students, and so there is risk that an instructor's approach may not be assessed fairly. The presenters noted that an instructor could conduct a separate mid-year evaluation to seek student feedback on their teaching effectiveness.
- The proposed question "*The course outline, including information about learning outcomes and course expectations, was clear*" may not be appropriate because in some programs the course outline is provided to the instructor and so the instructor should not be evaluated on what they have not written. It was observed that instructors direct students to the course outlines, and so the wording of this question could be revised to be more about communication than course outline content.

In response to questions, it was reported that:

- While students may feel differently about some components, the question "*Course projects, assignments, tests and/or exams provided opportunity for me to demonstrate my learning in this course*" is worded this way because not all courses will have all components and because students may not understand the meaning of the general phrase 'course assessments'. The CFIWG felt that it is important to have a question about assessment, but that the question needs to be relevant to all courses.
- Because students will be doing the survey in each of their courses, it is not being recommended to lengthen the survey by having each question have an additional comments option. It is hoped that the final proposed open response question will allow students to communicate about what they care most about.
- The CFIWG first decided upon the themes for the questions (Feedback on Learning, Learning Skills, Learning Outcomes, and Learning Atmosphere), then discussed the possible questions
- The Faculty, program and/or instructor questions will ask about a student's discipline-specific learning
- The Explorance Blue platform will allow for some questions in the survey to be directed to undergraduate and graduate courses as appropriate. The CFIWG will explore whether a core question can differ and be directed to undergraduate course levels.
- The display logic for additional comments is set to trigger only on the lower end member responses, but consideration can be given to seeking additional comments from all respondents
- The proposed questions are worded such that the same Likert scale can be used for all questions, for consistency
- Once approved, the new course feedback survey will be piloted in order to determine if the questions and technology are working as intended, and the survey will be strengthened based on feedback received

The TLC heard that the CFIWG will continue to work, and that the next step will be to provide the proposed core institutional survey questions to the University community for feedback. In response to a question, it was reported that the communications about this will say that the TLC was consulted during the drafting of the questions and will not portray that the TLC has approved the questions.

Calendar Updates: Course Outlines (Section E) & Tests and Assessments (Section G)

The TLC heard that a working group is being formed to consider changes to the Academic Regulations in the University Calendar, to improve the sections on Course Outlines and Examinations and Tests. Members of the TLC were invited to express interest in joining this working group.

Annual Committee Performance Review and Review of the TLC Terms of Reference

The TLC discussed its functioning, and feedback included celebration of the committee's engaged and collegial discussions about matters of importance to the University and praise for the committee's outstanding leadership. Members expressed appreciation for the hybrid format of the meetings.

Standing Reports

The TLC received reports on the current activities of the Taylor Institute for Teaching and Learning, Graduate Students' Association, and Students' Union.

Leslie Reid, Co-Chair, and Barbara Brown, Academic Co-Chair

**Report to the General Faculties Council
on the Meeting of
The Board of Governors (Open Session), May 26, 2023 (8:00 am)
From the Member of the Board nominated by GFC**

The Chair of the Board, Mark Herman, called the meeting to order at 8:00 am with a welcome to new student leaders and external guests, and a farewell to Lorinda Hammond leaders. The approval of the meeting agenda and identification of any existing conflicts of interest amongst the Board Members were then confirmed.

Michael Van Hee, Vice-President (Finance and Services) - Development presented the University's processes to manage contractor safety.

Following the safety moment, an update on the Social Innovation Initiative and approval of previous meeting minutes, three action items were then presented and discussed:

- Approval of the Open Consent Agenda items
- Approval of the University of Calgary's 2023 Capital Plan
- Approval of the Internal Restriction of New Assets (IRNA)
- Approval of the Annual Consolidated Financial Statements & Management Discussion & Analysis (MD&A)

All items were approved unanimously by the Board.

The one Discussion Item was a presentation and discussion of the University's Strategic Plan – 'Ahead of Tomorrow'.

The information items included the Report from the President and Campus Mental Health Strategy Progress Report.

Reports and documents included in the meeting materials included:

- Capital Infrastructure Status Report (4th Quarter)
- Report from the Chancellor and Board Member nominated by the Senate
- Board Member Reports
 - Report from the Chancellor and Board Member nominated by the Senate
 - Report from the Board Members nominated by the Alumni Association
 - Report from the Board Member nominated by the University of Calgary Faculty Association
 - Report from the Board Member nominated by the General Faculties Council
 - Report from the Board Member nominated by the Alberta Union of

Provincial Employees, Local 52

- Report from the Board Member nominated by the Students' Union including the Students' Union Quality Money
- Report from the Board Member nominated by the Graduate Students' Association, including the Graduate Students' Association 2021-2022 Financial Statements and Graduate Students' Association Quality Money Report

Sincerely,

Joule Bergerson