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AASUA Policies and Procedures Manual

The Policies and Procedures Manual of AASUA is to be reviewed and updated at least annually to ensure that it records and reflects the intentions and actions of Council.

Changes to the Policies and Procedures Manual are approved by a simple majority of those voting at a regularly scheduled Council meeting.
Part 1. Organization

(Version adopted by Council, 30 October 2008)
(Appendix references corrected to 11 August, 2009)
(Minor reorganization, style corrections, and revision: Approved by Council 19 March, 2009)
(Minor revisions: Approved by Council 21 January, 2010)

1.1 General Meetings

The Association’s membership is the final authority of the Association, but for practical reasons it is Council, as representative of the general membership, that proposes and directs the policies under which the Association operates on a day-to-day basis.

All resolutions of Council shall be effective immediately but may be repealed or amended by a simple majority of the members voting in a general meeting.

General meetings are closed to members of the media (Executive, 1972.03.15).

1.1.1 General Meetings Petitioned by the Membership

A written petition signed by at least fifty members is brought to the President, who shall take it forward to Council for consideration and vote. Council may accept the resolution included in the petition; or, if Council rejects the resolution, then the President must call a general meeting of all Association members to consider the specific resolution. If the resolution is accepted by the general meeting (by a simple majority of those voting), it must then go to a referendum (ballot) of the full membership. Such a referendum requires a simple majority of those voting in order to pass. (Bylaws §4.3.2.1)

1.1.2 General Meetings Called by the President

The President may at any time call a general meeting of all Association members to consider a resolution (Bylaws §4.3.2.2). The procedures for a general meeting outlined in §1.1.1 then apply.

1.1.3 Membership Ballots

The Bylaws may be rescinded, amended or added to by a resolution recommended by Council and approved in a ballot by not less than two thirds of the members voting (Bylaws §11).

Policy governing procedures for reaching, and ratification of agreements regarding conditions of employment between the Governors and the Association shall be effective only after approval by a simple majority of the members voting in a ballot of all members whose contract is governed by the agreement.

1Throughout this document, all references to Bylaws are to those adopted in 2007.
A town hall meeting may be called prior to the ballot to provide information about a resolution.

1.2 Membership Policy

1.2.1 Members

Under the terms of the Post-secondary Learning Act (2003) the Board, in consultation with the Association, designates the academic staff who are represented by the Association. The Board has recognized seven categories of members: academic faculty members, administrative professional officers (APO), professional librarians, faculty service officers (FSO), contract academic staff (teaching) (CAS(T)), trust/research academic staff (TRAS), and sessionals and other temporary academic staff (SOTS).

1.3 AASUA Council

1.3.1 Authority

Authority for the actions of the Association is provided by the Post-secondary Learning Act (2003) §85 which incorporates the Association by statute, and by §86 which authorizes the Association to act through an executive. Council has final executive authority within the Association.

Council’s powers, duties, membership and quorum (25% of members) are detailed in Article 5 of the Bylaws.

A Council member may name an alternate with full voting authority for any meeting for which the Council member is absent (Bylaws §6.6). Names of alternates must be provided to the AASUA office before the relevant meeting begins.

Elections procedures are detailed in the Voting and Elections policy (Bylaws §4.2, 4.3.5, 6.1, 6.10; Council, 2007.05.14).

1.3.2 Association’s Representative to the Board of Governors

The Association’s Representative to the Board of Governors (Post-secondary Learning Act (2003), §16 (3) (iii)) is an ex-officio non-voting member of Council and of the Executive Committee.

1.3.3 Parliamentary Procedures in Council

Council meetings have historically operated in the mode of Committee of the Whole in the sense of Robert's Rules of Order, inasmuch as most business involves presentation of information for discussion rather than for approval by vote. Such discussions are not, therefore, limited by the strict rules of debate, although questions are addressed through the presiding officer. In all other
respects, however, Council meetings follow the general procedures as laid out in Robert's Rules of Order. In particular, when issues requiring a vote of approval are before Council, Robert's Rules of Order will be followed, with the following noted changes:
1. Members do not normally stand to speak.
2. Votes are normally taken by show of hands.
(Council, 2009.02.19)

1.4 Membership of Council

Membership of Council is specified in Bylaws §6. Constituency groups elect representatives to Council in proportion to their numbers, i.e., one representative for each 75 (full time equivalent) members or residual part thereof, with a minimum of two representatives for each agreement constituency group. Each Faculty of the university is to have at least one academic faculty representative (with the exception of the Faculty of Graduate Studies). This formula is to be reviewed by Council at least every three years (Bylaws §6.4).

Council may divide a Faculty or constituency group that is entitled to more than one member into sub-groups entitled to elect one member. In creating such constituencies, Council may, at its discretion, permit up to one additional member for the Faculty or constituency sub-group where the additional member would provide a more equitable distribution of members.

1.5 AASUA Executive

1.5.1 Authority

The Officers and Directors, as defined in the Bylaws, constitute the Executive Committee of Council.

The Executive Committee’s powers, duties, membership are detailed in the Bylaws §7.2; elections procedures in the Voting and Elections Policy (Council 2007.5.14). Quorum is 25% of members.

In addition, Council has delegated to the Executive Committee the following authority: to administer the annual budget (submitting non-budgeted items to Council for approval); to implement resolutions and to direct the day-to-day affairs of the Association; and to direct the staff of the Association (to approve annual merit awards and act in general as the personnel administration committee) (Council 1983.12.8).

The vote on Executive Committee actions is recorded in the minutes (Executive 1995.10.23), and is received for information by Council.

1.5.2 Release Time

As authorized by a general meeting (1972.11.14), the Association reached agreement with the
University for release from teaching duties for the President. The policy has been extended for partial release time for other officers and the chair persons of standing committees.

Council (1988.9.27) approved the following procedures:

Funds for Executive Committee replacement may be used to provide for:

(a) The salary costs of persons retained by departments to replace the President (all teaching costs or their equivalent) and any officers (up to one course each semester), in their teaching duties if they are academic faculty members, or equivalent replacement for other university duties as may be appropriate to the individual’s circumstances;

(b) Where the funds are required for replacement of time for the fulfillment of research duties, a sum equivalent to the above may be made available through the budget process;

(c) For the President, in addition to replacement for teaching or equivalent, the Association shall pay a grant equal to the average chair’s honorarium, which shall be administered as a grant equivalent to a Professional Expense Reimbursement, and be paid either into an account held by the President, or an account held for him or her by the President’s home Department;

(d) For the Chair of the Members’ Advisory Committee and Vice President, at least 50% release may be negotiated (Executive, 1995.03.01; Council, 1995.04.10);

(e) Members of the Salary Negotiation Teams or Agreement Review Committees may negotiate release for one course in the academic year (or equivalent), or up to two courses in exceptional circumstances;

(f) The Executive Committee may authorize the purchase of release time as it deems necessary. Decisions regarding the allocation of release time are made in the budget process according to past practice and are approved by the Executive Committee. Arrangements for release time must be reasonable and justified in the circumstances.

1.6 AASUA Committees

AASUA Committees are established by Council and are responsible to Council (Bylaws §5.2 - 5.4).

Council may create committees that are in effect sub-committees of the Executive Committee: i.e., they are drawn from and report to the Executive Committee (e.g., Finance Committee, Personnel Committee).

The President is an ex officio member of all committees (Bylaws §8.1.2) All committees report regularly to Council unless otherwise constituted.
The terms of reference of AASUA committees are approved by Council and are listed in Appendix 1.

There are four types of committee:

1.6.1 Constituency Committees

The committee structures through which Academic Faculty, Academic Librarians, Administrative Professional Officers, Contract Academic Staff (Teaching), Trust/Research Academic Staff, and Sessionals and Other Temporary Staff represent constituencies of employees within the Association, are created by or recognized by Council. Council has the power to establish or abolish committees, including constituency committees, and to establish or change their composition, membership and functions (Bylaws §5.2).

All committees of the Association are responsible to Council and may not commit the Association unless specifically authorized to do so by Council (Bylaws §5.3).

Constituency groups (specifically) have only those powers that have been directly and explicitly permitted by Council. They have no independent authority over the Association or over any of its substructures (Bylaws §5.4).

Constituency committees are representative; i.e. they represent particular employee groups within the association that have their own collective agreements. They may have a representative function (e.g., in nominating individuals to serve on Council) or in the negotiation of the terms and conditions of employment of those whom they represent. Their powers are defined in the Bylaws. Constituency groups have membership on Council in proportion to their membership in the association (Bylaws §6.4). Chairs of constituency groups are normally members of the Executive Committee as well (Bylaws §7.4.1).

1.6.2 Standing Committees

Standing committees have long-term functions; i.e., they are created by Council to fulfill a function that continues from year to year. The chairs of such committees may be named Directors by Council and therefore become members of Executive Committee (Bylaws §7.4.2).

Current standing committees of the Association are: Salary, Members’ Advisory, Economic Benefits, Equity, Research and Scholarly Activity, Teaching and Learning, Finance, Personnel, and Governance. Committee members are recruited by committee chairs for one-year terms from the full membership of the Association and should broadly represent the range of constituency groups in the association (AASUA Voting & Elections Policy, Council 2007.05.17).

These bodies may bring recommendations to the Executive Committee or to Council.

1.6.2.1 Salary Committee

The Salary Committee is concerned with all aspects of the schedule of salaries and other
compensation (excluding benefits and pensions) for members of the association. In negotiating years, the committee advises the Salary Negotiating Team on an initial proposal (an “asking package”) for negotiations with the Board, which is then taken to Council. In practice, the members of the AASUA negotiating team attend meetings of the Salary Committee. Members may be drawn from any part of the membership.

1.6.2.3 Members’ Advisory Committee

The Members’ Advisory Committee (MAC) is a small group of academic staff members, working with the Executive Director and Membership Services Officer(s) to assist academic staff in contract disputes and appeals. At the request of the academic staff member, the committee members provide advice and may attend with or represent staff at appeal hearings, dispute resolution proceedings and other such meetings (the Committee’s terms of reference are in Appendix 1.1.2 and principles of Membership Representation are in Appendix 3.1).

MAC’s role in representation of members is set out in a Representation Decisions and Appeal Policy (Council 2002.02.28) included as part of Appendix 3.1.

1.6.2.4 Economic Benefits Committee

The Economic Benefits Committee, established in 1974, is responsible for research and review of all economic benefit programs for members of the academic staff and may recommend changes to Council.

Council may then authorize forwarding the recommendations to the joint Administration–Association Academic Benefits Management Committee (ABMC).

The Academic Benefits Management Committee is created in the Academic Staff Collective Agreement, Appendix F of the Faculty Agreement (reproduced in Appendix 2.2), and is in force for the duration of the collective agreement. The ABMC reports to the Administration and to AASUA. The chair of the Economic Benefits Committee is normally also co-chair of the Academic Benefits Management Committee.

1.6.2.5 Equity Committee

Council established a committee whose terms of reference subsumes those of the Committee on Women’s Issues (Council, 1994.03.09), and looks at Equity issues with a large scope envisioning all equity-seeking groups, including but not limited to Aboriginal peoples, women, visible/racialized minorities, persons with disabilities, and lesbians, gays and transgendered peoples.

The role of the Equity Committee is to:

(a) Develop policy recommendations on equity issues affecting members of the Association; and
(b) Act as an advisory committee to the Executive Committee and Council on matters
referred to it or on which the committee deems action to be appropriate.

1.6.2.6 Research and Scholarly Activity Committee

Council approved the establishment of the Committee on Research & Scholarly Activity (Council, 1999.01.26) as a standing committee of Council with the following mandate:

(a) To promote research and scholarly activity on campus;

(b) To identify, in consultation with the AASUA membership, campus-wide issues of concern regarding research and scholarly activity;

(c) To discuss the items in (b), and bring these issues to the attention of the University Research Policy Committee (URPC), the Academic Policy Committee and the offices of the Vice President (Academic) and (Research);

(d) To provide advice to the AASUA on policy matters related to research and scholarship on campus; and

(e) To provide advice on research-related issues to the office of the Vice President (Research), through the University Research Policy Committee (chaired by the Vice President (Research)). The VP (Research) makes a number of appointments to the URPC, one of which is an association representative, customarily the chair of the RSA Committee or delegate.

1.6.2.7 Teaching and Learning Committee

The role of the Teaching and Learning Committee is to promote effective teaching and learning on campus by:

(a) Identifying AASUA members’ issues of concern regarding teaching and learning;

(b) Working in consultation with AASUA members and in collaboration with the Students’ Union and Graduate Students’ Association to bring relevant teaching issues to the attention of the Executive Committee and Council for consideration;

(c) Advising the AASUA on existing and proposed University teaching policies;

(d) Advising the Vice President (Academic) and Provost and others, on AASUA members’ views on teaching related issues; and

(e) Providing a link between the Association and those units and committees whose primary focus is teaching in its widest possible sense, such as Committee for Learning Environment, University Teaching Services, and appropriate associate Vice President offices, or other AASUA committees.
1.6.2.8 **Finance Committee**

(a) The Finance Committee is a sub-committee of the Executive Committee, chaired by the Treasurer. In addition to the chair, the members include the President, Vice President, one member of the Executive Committee, and one member from Council (who is not on the Executive Committee). The Executive Director is an ex officio member.

(b) This is a committee of oversight and recommendation making periodic reports on the financial state of the Association to the Executive Committee and to Council. It makes recommendations through the Executive Committee to Council with respect to any action that would affect the material financial obligations of the Association.

(c) The Finance Committee has general oversight of the Association’s investment policy. The Association’s assets are held in an appropriate mixture of short-term and long-term instruments. The Association acts on the advice of professional financial advisers. This advice is to be reviewed by the Finance Committee and recommended to the Executive Committee and Council.

(d) The Finance Committee makes recommendations on the appropriate size and structure of the Association’s reserve funds.

(e) In June of each year, the Finance Committee constructs the Association’s budget based upon the preparation done by the Business Manager, which then goes before the Executive Committee for approval.

(f) The Finance Committee reviews the dues structure of the Association every three years, and makes recommendations to the Executive Committee and Council. Council votes to approve changes to the dues structure.

(g) The Finance Committee reviews the work of the auditors and makes a recommendation to Council on whether or not the auditors should be reappointed. This should not be a formal Review, but a general discussion of satisfaction/dissatisfaction made at the time that the draft financial statements are brought forward to the Finance Committee.

1.6.2.9 **Personnel Committee**

(a) The Personnel Committee is a sub-committee of the Executive Committee, composed of three members of the Association, two of whom are elected by the Executive Committee for one-year terms. The Chair of the Personnel Committee is a Director of the Association, and is elected as part of the Executive Committee election process. The President is an ex officio member.

(b) The Personnel Committee reports its advice and recommendations to the Executive Committee at regular Executive Committee meetings. It takes action upon the direction of the Executive Committee.
(c) The Personnel Committee advises the Executive Committee in matters relating to the employees of the association.

(d) The Personnel Committee conducts reviews of all staff contracts every 5 years (P&P §1.8.3).

(e) The focus of the Personnel Committee’s work is upon the principles and processes that govern the working conditions of the employees of the association. The full terms of reference are set out in Appendix 1.1.1.

1.6.2.10 Governance Committee

(a) The Governance Committee is a standing committee of AASUA Council, composed of the Vice President as Chair, the President (ex officio), the Past President, and three members of Council who are selected by the Chair and approved by Council for one-year terms. The Executive Director and Parliamentarian are ex officio non-voting members.

(b) The Governance Committee has the following statutory responsibilities:
   • Periodic review of the Bylaws.
   • Annual review of Policies & Procedures.
   • Triennial review of the minimum number of members-at-large of Council.
   • Triennial review of the number of representatives for each constituency group on Council.
   • Oversight of the application of Robert’s Rules of Order in Council.

1.6.3 Ad hoc Committees

Ad hoc (or working) committees are task-specific, created to undertake a specific function and disbanded when that task has been accomplished. The Nominating Committee (Bylaws §10.2, P&P 1.7.9) is one such committee, which is elected annually to conduct Council elections.

1.6.4 Past Presidents Committee

A committee of past presidents of AASUA was established by Council (Council 2008.11.20) to provide advice to the President or to the Executive Committee on matters of current concern, when requested.

The immediate Past President shall chair the committee. One of the primary functions of the Past Presidents Committee is to provide a continuing connection between former presidents of the association and AASUA in a kind of alumni function.

The chair will convocate the committee and the committee will establish its own terms of reference in matters of membership, frequency of meetings, place of meetings, establishment of agendas, procedures of meetings, etc. This committee is intended to be relatively informal in its operations.
The President or Executive Committee may ask the Past Presidents Committee to consider specific topics that are of current concern to the Association and on such matters (only) the Committee will provide formal advice.

The President and Vice President of the Association are ex officio members of the committee.

The Committee is entirely advisory and has no representative function (i.e., its members are not elected). Individuals are members by virtue of formerly holding the office of President. Membership of this Committee carries no implication that its members thereby become Directors or members of Council.

**1.7 Voting and Elections Policy** *(Council 2007.05.14)*

The Bylaws give the Association wide discretion in determining how it carries out various kinds of votes, both regarding resolutions and the election of representatives to Council. Council therefore has adopted the following principles in respect to the kinds of votes specified *(Council 2007.04.14)*:

**1.7.1 Votes by the Membership:**

(a) Questions of general interest that have an impact upon all members, and are therefore put to all members of the Association;

(b) Questions of principle that have an impact upon all members of a constituency group (i.e., a particular category of employees), and are therefore put to all members of that constituency group; and

(c) Ratification of changes to the collective agreement that concern a particular constituency group, which are put to all members of that group.

In these cases, the Officers are empowered to determine the method of voting *(Bylaws §4.3.5, §12.3)*.

**1.7.2 General Meetings**

Members of the Association may initiate a resolution by petition by at least fifty members brought to the President, who takes it forward to Council for determination. If Council does not accept the resolution, the President must call a meeting of all members to consider the specific resolution. If the resolution is accepted by the meeting, it must then go to referendum of the full membership *(P&P §1.7.1)*.

The Officers are empowered to determine the method of voting at a general meeting *(Bylaws §4.3.5)*.
1.7.3 **Election of Members of Council**

(a) Elections are carried out to select representatives from constituency groups to serve on Council, according to a method of voting to be determined by Council (Bylaws §6.10). By implication, constituency groups may, if formally constituted, elect their own representatives according to procedures agreed by Council; Council may establish procedures for those constituency groups that are not formally constituted.

(b) The Nominating Committee shall, in a format determined by Council and communicated to the members (Bylaws §10.6), advertise to the general membership vacancies for election to Council and invite nominations (Bylaws §10.4.1). The call for expressions of interest shall indicate that while prior experience is valuable, all candidates are welcomed and encouraged.

(c) Members are eligible to contest only Council positions that represent their respective constituency groups, or the positions of the members as large.

1.7.4 **Voting Principles**

Council has adopted the following principles that apply to the votes and elections described in P&P §1.7.1–1.7.3:

(a) Each member is entitled to vote, according to the scope of the vote to be taken.

(b) Secure website voting may be used:
- To conduct a vote on a resolution put to the general membership;
- To conduct a vote on a resolution put to a constituency group;
- To ratify changes to a collective agreement concerning members of a constituency group; and
- To elect representatives from a constituency group to Council.

(c) The Executive Committee establishes procedures to ensure website security for the purposes of voting.

(d) The Executive Committee ensures that in all cases members will be provided with adequate information on all issues on which they are to vote.

(e) Electronic ballots shall be confidential. The results of any electronic poll will be published on the AASUA website and the members informed by electronic mail.

(f) Where an election is required, Council will hold an election, under rules established by Council (Bylaws §10.6). The election will be by secret ballot, conducted by the Executive Director, and supervised by two scrutineers appointed by Council.

(g) Where more than two candidates contest any position, a preferential ballot will be held.
1.7.5 Voting in Council

(a) Bylaws §6.13 require that voting at Council shall be by simple majority of those present and voting. The Chair of Council may vote when his/her vote would change the outcome of a vote, i.e., to break or cause a tie. Thus, where a vote is within one vote of a tie, the Chair can also vote to cause a tie, which causes the vote to fail. (This is in accordance with Robert’s *Rules of Order*.) Proxy voting is not permitted. An alternate (voting) delegate may be named. Abstentions are neither asked for nor counted (in accordance with Robert’s *Rules of Order*).

(b) Voting is by show of hands (Bylaws §6.11); however, secret ballot may be required when ordered by the President or requested by five members in advance of the meeting (Bylaws §6.11.1–6.11.3).

(c) The President, the Executive Committee, or Council may, at their discretion, decide that a particular item of business would have special impact upon one (or more) specific constituency group(s). In such cases, Council may send the matter to the specific constituency group(s) for their consideration. If the constituency group approves the issue, it will bring it back to Council in the form of a resolution for endorsement by a vote of the whole Council.

1.7.6 Elections in Council

Council elects the following members of the Executive Committee: President, Vice President, Treasurer, members-at-large, and, in appropriate years, the Association’s Nominee to the Board of Governors (Bylaws §10.4.3). Such elections, if contested, are by secret ballot (Bylaws §6.11.4).

1.7.7 Votes in the Executive Committee

The Executive Committee does not make decisions on resolutions, but makes recommendations to Council (Bylaws §7.2.3). Voting is by show of hands, and resolutions are adopted by a simple majority of those present and voting (abstentions are not counted). Quorum is 25% of members.

1.7.8 Election of Officers and Directors

The Officers are the President, Vice President, and Treasurer (Bylaws §7.3).

The Directors are: one representative of each constituency group that has its own collective agreement, chairs of other committees as determined by Council, two representatives elected by Council from among its academic faculty members, and the immediate Past President (Bylaws §7.4).

The Association’s nominee to the Board of Governors attends Executive Committee meetings as a non-voting member (Bylaws § 7.5; Post-secondary Learning Act 2003, §16 (3) (iii)).
Council elects the Officers, members of the Executive Committee, and committee chairs (Bylaws §10) as follows:

(a) Elections for Officers, Directors, and committee chairs must be held before June 30 of each year (Bylaws §10.5).

(b) Chairs of standing committees are in principle elected, whereas chairs of ad hoc committees are appointed by Council. Normally (but not necessarily), chairs of committees are drawn from among the members of Council (Bylaws §7.4.2). Committee members are drawn from the full membership of the Association and are normally selected by the Committee Chair. Council determines whether committee chairs become members of the Executive Committee (Bylaws §7.4.2).

(c) All Officers and Directors serve one-year terms (Bylaws §7.5) beginning on July 1 (Bylaws §7.8).

(d) Elections for the Executive Committee and for committee chairs shall normally be held in April of each year (Bylaws §6.10) and must be held before June 30 of each year (Bylaws §10.5). The earlier this process begins and the earlier information is provided to the membership, the better.

(e) Except in the case of constituency committee chairs, who are elected by their constituency groups, elections of members of the Executive Committee shall be by secret ballot of Council (Bylaws §6.11.4, §10.4.6.7).

1.7.9 Election of the Nominating Committee

(a) The Nominating Committee is elected annually by Council (Bylaws §10.2) and consists of a maximum of four individuals — three members of Council and the immediate Past President, who shall serve as non-voting convenor. In the event that the immediate Past President is unable to serve, Council shall elect a convenor (Bylaws §10.3).

(b) Ordinarily, the membership of the Nominating Committee will include representation from several constituency groups.

(c) The Past President shall prepare nominations to the Nominating Committee in October, such nominations to be circulated with the agenda of Council at which the election is to take place. Additional nominations may be added at the meeting by any member of Council.

(d) The election shall be conducted by secret ballot.
1.8 Personnel Policies

1.8.1 Authority of the President

The President exercises general supervisory authority over staff of the Association, including general determination of duties and priorities, assessment of performance, and determination of increment. This authority shall be exercised directly over the Executive Director and indirectly (or as further delegated) over other staff, through the office of the Executive Director (Bylaws §8.1.7).

1.8.2 Hiring of Staff

Staff positions are filled through open search (e.g., advertising in national and/or local newspapers, and appropriate listservs) followed by interview. The services of a recruitment consultant may be employed to develop and post advertising material, to receive and shortlist applicants, and to organize and lead formal interviews. For the position of Executive Director, applicants are invited to provide a detailed vision statement, in addition to normal application materials.

1.8.2.1 Staff Positions Other than the Executive Director

For staff positions other than the Executive Director, the interview committee normally consists of the President, Vice President, Chair of the Personnel Committee, Executive Director, Business Manager, and Senior Membership Services Officer.

The interview committee makes the final decision on hiring, compensation and benefits, and probation or term arrangements. The Executive Director prepares a contract for signature.

1.8.2.2 Executive Director

For the Executive Director, the interview committee normally consists of the President, Vice President, Chair of the Personnel Committee, Business Manager, Senior Membership Services Officer, plus one additional member each of the Executive Committee and Council, nominated by those bodies.

The interview committee makes a recommendation for appointment of the Executive Director, including compensation, benefits, and probation or term arrangements, to the Executive Committee, along with the candidate’s vision statement. The Executive Committee makes the final decision on hiring the Executive Director, and instructs the President to prepare a contract for signature.

1.8.3 Staff Positions

All staff shall have written contracts on file, which shall be reviewed at least every 5 years. Remuneration for a position is dependent upon a Hay Points (or equivalent) system, which is reviewed by the Personnel Committee every 5 years (or less, if needed), and makes
recommendations to the Executive Committee.

*Executive Director:*
The Executive Director position is a full-time, continuing staff position, with full benefits.

*Senior Membership Services Officer:*
The Senior Membership Services Officer is a full-time, continuing staff position, with full benefits.

*Membership Services Officer(s):*
The Membership Services Officer(s) is a full-time, continuing staff position, with full benefits.

*Business Manager:*
The Business Manager position is a full-time, continuing position with full benefits.

*Receptionist/Administrative Assistant:*
The Receptionist/Administrative Assistant is a full-time, continuing position evaluated according to the Aiken salary grid. The contract between the Association and the Secretary/Receptionist specifies employment benefits, etc., that pertain to the position through reference to specific elements of the NASA collective agreement for operating staff.

1.8.4 Procedures for Evaluation of the Executive Director

(a) The President directly supervises the Executive Director and carries out the annual evaluation of the Executive Director’s performance in a manner the President deems appropriate (Bylaws §8.5.1).

(b) In December of each year, the Executive Director shall notify the President in writing of the obligation for an annual review of the Executive Director’s performance.

(c) The Executive Director completes a self-evaluation and forwards it to the President by February 1.

(d) The President:
   • Consults with others;
   • Keeping in mind the self-evaluation composed by the Executive Director, prepares an evaluation for the Executive Director with increment recommendation; and
   • Presents the evaluation and the increment recommendation to the Executive Director in writing, and meets with him/her to discuss them and to determine the Executive Director’s goals and objectives for the year ahead, in line with Council’s priorities.
The evaluation process will be completed by March 1.

If the Executive Director and the President are in agreement regarding the evaluation and increment recommendation, the determination is forwarded to the Executive Committee, which receives it for information (only).

Appeal:
• If the President and the Executive Director are in disagreement over the evaluation and incrementation, the Executive Director may make representation to the Executive Committee at an in camera meeting, after which the Executive Director leaves the room.
• The Executive Committee then determines which recommendation(s) to accept, and also decides the final level of incrementation.
• The decision of the Executive Committee is communicated to the Executive Director by the President.
• The decision of the Executive Committee is final.

1.8.5 Procedures for the Evaluation of Other Staff

The general supervisory authority of the President over other staff is delegated to the Executive Director (Bylaws §8.1.7).

In December of each year, the Executive Director requests self-evaluations from all staff members (Bylaws §8.5.4.4) to be completed by February 1.

The Executive Director:
• Consults with the President, the direct supervisor, and others;
• Keeping in mind the self-evaluation prepared by the staff member, prepares an evaluation for the staff member with increment recommendation; and
• Presents the evaluation and the increment recommendation to the staff member in writing and meets with him/her to discuss them and to determine the staff member’s goals and objectives for the year ahead, in line with Council’s priorities and operational requirements.

The evaluation process will be completed by March 1.

If the Executive Director and the staff member are in agreement regarding the evaluation and increment recommendation, the evaluation that has been agreed upon is first signed off by the President (on the recommendation of the Executive Director), then forwarded to the Executive Committee, which receives it for information (only).

Appeal:
• If the staff member and the Executive Director are in disagreement over the evaluation and incrementation, the staff member may make representation to the Executive Committee at an in camera meeting, after which the staff member
leaves the room.

- The Executive Committee then determines which recommendation(s) to accept, and also decides the final level of incrementation.
- The decision of the Executive Committee is communicated to the staff member by the Executive Director.
- The decision of the Executive Committee is final.

1.8.6 Additional Personnel Policies

1.8.6.1 Date for Incrementation/Rate Changes:

The incrementation/rate change date for all staff is July 1.

1.8.6.2 New Appointments: Evaluation and Incrementation:

Evaluation of new staff will only occur in the first year if the appointment date occurs prior to April 1 (more than three months of service). Incrementation will be pro-rated for the portion of the year served.

1.8.6.3 Overtime:

Additional leave, to be taken before the end of the following academic year, will be provided in lieu of salary for overtime.

1.8.6.4 Severance:

Should the Executive Committee desire to discontinue the employment relationship with a staff member, without cause, severance shall be paid pursuant to the terms of the individual’s written contract of employment.

1.9 Archives Policy

Bylaws §14.2 states that: “All non-current books and records of the Association shall, on a regular basis, be deposited in the University Archives under such restrictions as may be determined by the Executive Committee, or be destroyed according to a records management plan.” A Council resolution (1973.12.19) specifies that the Association files be submitted to the University Archivist for retention, subject to the following conditions:

(a) Normal University archives regulations will apply;

(b) Permission for the use of documents by bona fide members will be subject to the approval of the Executive Committee; and

(c) Membership case files will be closed to all persons for a period of 25 years following the
death of the principal.

1.9.1 Provenance and Arrangement

The papers of the Association of Academic Staff of the University of Alberta, prior to being turned over to the University of Alberta Archives, were in the custody and control of the AASUA.

Upon receipt of each accession, a file inventory is made of its contents. The first accession (73-162) represented an overall house-cleaning of AASUA files, comprised of correspondence, reports, minutes, and documents extending from 1939 to 1971. Due to the expansive time frame covered by this initial accession, several varied filing systems were in use. In an attempt to standardize the collection, these files were arranged as closely as possible according to the AASUA filing system. However, because of the evolutionary states of the Association included in this large accession, materials relating specifically to the Faculty Relations Committee and to the ATSUA were isolated into two separate series.

The remaining accessions appear to follow the current AASUA filing system fairly accurately, and this order has therefore been maintained.

Current filing procedures are maintained in the Office. Annually, files are assessed as follows:

- The file classification plan outlines a retention period for all items. After the retention period has been met, these documents should be removed from the files and moved to an inactive storage area awaiting final disposition of either archives or destruction.

- Files destined for destruction after meeting the retention period should be disposed of properly/securely, preferably by shredding.

- When a file is moved from the active system to semi-active it remains in the file guide.

1.9.2 Access Restrictions

All case files in the collection are closed as per Class “2”, requiring written permission from the AASUA in order to be examined. The remaining files are restricted to the discretion of the Archivist, as per Class “5”.

1.10 Communications Policy and Procedures

As approved by Council 18 April, 2013

Purpose:

This policy will facilitate AASUA communications so that they are consistent, coordinated, effectively managed and responsive to the diverse needs of our members. This policy is intended to assist the Association to provide timely, accurate, and relevant information about
our bylaws, policies, services, initiatives, and negotiations.

The purpose is to engage our members in meaningful two-way communication; to ensure we are visible, accessible and accountable to the members we serve.

Our communication initiatives will include an exploration of and a variety of ways and means to communicate with our members; we will always strive to enhance and preserve the integrity and respect that our Association has established.

Guiding Principles:

The following principles inform our practices and policies:

1. In order to properly advance the objects of the Association, members need to be kept duly informed of matters of interest or concern to the Association.

2. Members’ individual and collective interests are best served through free expression, recognizing that at all times free expression has limits in a democratic society. Expression must always be responsible, reasonable, respectful, and accountable.

3. While the Association is committed to creating opportunities for its members to engage in public discussion about issues of concern to its members, the elected representatives must exercise due care not to disseminate information that may prejudice the Association’s ability to effectively settle disputes, harm negotiations, or that may otherwise unduly harm labor relations between the Association and the University administration.

4. The Association, when communicating any information, shall endeavor to report it consistently and accurately in the media and to the public so as to present a favorable public image that will enhance our ability to advocate on behalf of our members. The Association’s public communications will be consistent with and promote our various initiatives, such as those articulated in the Association’s strategic plan.

5. The Association’s identity communicates the values, strengths and objectives of the Association. The acronym “AASUA” and the below identified logo are pending registered trademarks of the Association and they and any other identifying logos, trademarks and other marks, whether registered or not, shall be consistently used and incorporated in all documents, emails, website pages, online forums, and any other communication vehicles, where appropriate to do so and where such use has been duly authorized by AASUA.
Communications with Media and Public Relations:

In order to provide accurate and timely information to our members and to the public generally, only the CEO/President and the Executive Director are authorized to speak to media sources on behalf of the Association. The President may appoint a spokesperson on specific issues. Staff, Officers or Directors, or any other Council members will not speak to the media on behalf of the Association without prior authorization of the President, or if not available, the Executive Director.

Internal Communications with Members:

Electronic communication through e-mail, online forums, and the website provide opportunities for interactive, two-way communication and reduced response time in the distribution of information by the Association to its members and the receipt of timely feedback from its members. Any communications in this manner must be done in a responsible and respectful manner so as to promote and maintain professionalism within our Association, and in our exchanges with our members.

Whenever possible, AASUA communication vehicles will be standardized in form, function and esthetic. The Executive Director is responsible for implementing and administering the publication vehicles. The protection of an individual’s privacy is paramount. Confidential matters are never to be communicated. All communication exchanges must ensure compliance with this Policy.

Online Discussion Forums:

a) Members’ opinions and views, personal and professional integrity, and privacy, must be respected, and anonymous submissions will not be accepted in any of the Association’s online discussion forums.

b) Each constituency and standing committee Chair is responsible for moderating the two-way communications in the online discussion forums for their committee to ensure these are consistent with our Guiding Principles.
c) Similarly, each Council Representative is responsible for moderating the two-way communications between themselves and the AASUA members within their faculty and/or department to ensure these are consistent with our Guiding Principles.

d) A member in good standing with the Association may initiate a discussion in any of the Association’s online discussion forums.

e) The Association's online discussion forums are available for discussion and debate of issues pertaining to the Association subject to the over-arching Guiding Principles. Inherent in the Guiding Principles is civility and the avoidance of harm to an individual's dignity or privacy. Exchanges of any nature that are in breach of the Guiding Principles, infringe the basic rules of civility, or otherwise pose a risk of harm to an individual or liability for the Association shall be removed by the appropriate moderator or by the Executive Director or their designate. Ultimately, the Executive Director has the authority and responsibility to remove postings that violate these rules. Disagreement about the appropriateness of a comment will be resolved in accordance with the provisions described below:

Resolution of Disputes:

In the case of a dispute regarding the content of material, the Executive Director will bring the issue to the Communications Committee for resolution by majority vote. Quorum shall be three (3) committee members. If the Communications Committee cannot agree on how to resolve the dispute, the decision will be referred to the Executive Committee for final decision. The material in question will not be re-posted, disseminated in any communication vehicle, or otherwise distributed in any fashion until a final decision has been reached by the Communications Committee or the Executive Committee.

Communications Committee:

a) is a sub-committee of the Executive Committee. Council has final authority over all issues related to communications.

b) is composed of four members to be elected by the Executive Committee for a one-year term. A Chair shall be elected from amongst the committee members. Non-voting members are the President and the Executive Director (ex-officio).

c) is responsible for enhancing effective communications between Council and members, and among members; including bulletins such as Rhumblines and publications such as Compass, or any other publications; and material posted on the Association’s website, Facebook page or other social media.
d) assists the President in enhancing communications internal to the Association, and externally.

e) is required to consult with the Association’s President, Executive Director, and chief negotiator and to take due care in communicating information that may impact, in any way, negotiations with management, or the effective settlement of disputes;

f) shall request content from Directors and Chairs of various committees that fall under their area of responsibility; and shall ensure the material submitted is presented as clearly and concisely as possible, and is consistent with our Guiding Principles.

g) shall advise Executive on communication matters.

Listservs and Access:

Use of listservs and distribution of materials via the listservs will continue to occur pursuant to Section 1.10.1 of the Policies and Procedures Manual.

1.10.1 Listservs

The AASUA listservs have been established for use by the Association and for the benefit of the academic staff. The Association has sole ownership for the listservs and responsibility for updating the members’ names and e-mail addresses. The listservs may not be used without the permission of the Association; the lists will not be provided to any other unit.

Notices sent on any of the AASUA listservs will normally require the prior approval of the AASUA President or the Executive Director.

The President may refer a request to the Officers or to the Executive Committee. This approval is intended to ensure that opinions expressed on behalf of the Association are consistent with AASUA policies.

1.10.2 Use of the Listservs by Other University Units

Consideration will be given to requests from University administrators or other units when, in the opinion of the President or the Executive Director, the material is of direct benefit or interest to members of the academic staff.

Goods and services solicitations or messages from non-University sources will not be accepted.

A disclaimer will be attached:
*The attached notice is circulated on the AASUA listserv to AASUA members at the request of (name) (office). The Association accepts no responsibility for the content of the message. Replies and comments should be directed to (e-mail address).*
In the message, the originator’s e-mail address will be substituted for the AASUA contact person, so that replies will automatically go back to the originator (Council, 2000.11.02).

1.11 Conflict of Interest
Approved by Council on 17 December, 2009.

Conflicts of interest are a normal risk of business in any organization, and are managed by declaration (i.e., awareness) and transparency, or avoidance.

It is the responsibility of the individual to be aware of the potential for conflict of interest and to take appropriate action.

1.11.1 Declaration and Management of Conflict of Interest

Conflict of interest may arise where an individual stands to gain directly or indirectly (e.g., through a family member) from an action, such as but not limited to a financial transaction of the Association. Where there is potential for such a conflict, the member declares the conflict in advance to the Executive Director, or in the case of the Executive Director having such a conflict, to the President. The Executive Director or President, as applicable, will then decide whether the conflict can be managed or should be avoided. If it is decided that a conflict of interest can be managed, the conflict is reported to the Executive Committee and minuted. If it is decided that the conflict of interest is not manageable in this manner, then the conflict must be avoided. This will mean that the Association will not enter the specific relationship or undertake the transaction that is the source of the conflict.

The Executive Director or President, as applicable, will provide a letter to the individual that records the decision and actions to be taken by both parties.

1.11.2 Conflict of Interest in Committees

Conflict of interest may arise in committees due to significant personal interest or involvement in a matter before the committee. In such cases, the committee member must declare the conflict to the committee chair in advance, and recuse him- or herself from the committee for the period of deliberation of the matter.

Part 2. Financial Policies
(Minor revisions: Approved by Council 21 January, 2010)

2.1 General Authority

AASUA financial authorities are detailed in the Bylaws §13. The Bylaws authorize the
Association to borrow, raise or receive funds, set membership dues, and acquire or dispose of property. They require an annual audit of the Association’s records of account and require that the Treasurer submit a complete year-end financial statement to Council in the following year. They authorize the use of a common seal of the Association.

The Finance Committee is a sub-committee of the Executive Committee and provides advice on the financial affairs of the Association. Its terms of reference are set out an Appendix to this manual.

2.2 Signing Authorities and Banking

Signing authorities are any two of the Officers of the Association (President, Vice President, and Treasurer), the Executive Director, or the Business Manager (Executive, 1975.4.21; 1974.9.17).

In 1994, the Executive Committee approved the establishment of an account with the Bank of Montreal (1994.04.20).

2.3 Annual Process

The AASUA’s fiscal year runs from July 1 to the following June 30.

An annual budget is prepared for the Executive Committee and Council approval at the May or June meetings.

Quarterly financial statements are prepared for the information of Executive Committee and of Council.

2.4 Auditor

The Bylaws require that the books, accounts, and records of the Association be audited once a year by a duly qualified accountant, and a complete and proper financial statement be forwarded to the membership. Council appoints the auditors annually (Bylaws §5.1.7) on the recommendation of the Finance Committee (P&P §1.6.2.8).

The records of account (and other books and minutes of the Association) may be inspected by any member. Such examination may be made in the Association Office during normal office hours at a time that may reasonably be arranged following notice to the President. (Bylaws §14.3)

2.5 AASUA Reserves Policy

The Association aims to maintain an Operating Reserve at a minimum equivalent of one year’s
operating expenses. The main purpose of this reserve is to defray obligations to staff members should the Association be wound up for any reason. In the financial statements, the auditors call this an “unrestricted reserve”.

Council approved (1994.02.10) the creation of another reserve fund, the Membership Defence Reserve Fund, a contingency fund to be used to assist with legal costs on behalf of the AASUA and its members in arbitration proceedings and legal actions, as well as defending the academic staff agreements and principles therein. In the financial statements, the auditors call this an “internally restricted reserve”.

The Membership Defence Reserve Fund was established at $250,000 by transferring that amount from the operating surplus in 1994. It was intended that it would be added to (or reduced by) the differences between the annual budgeted amount for legal and arbitration costs and the actual expenditures for each account. The fund would be allowed to reach a maximum of $750,000, at which time Council would reconsider the terms of reference. No transfer to the Membership Defence Reserve Fund will be made in a year when the balance of revenues over expenditures at the year-end is a deficit, or of an amount that would thereby create a deficit (Council, 1998.10.29). The money in the Membership Defence Reserve Fund is to be used after the exhaustion of amounts budgeted for these purposes in the regular annual budget of the Association.

Persuant to §2.6.2, Council delegates to the Executive Committee the authority to make payments from the Membership Defence Reserve Fund, and to redeem any investment necessary to meet those expenditures.

2.6  AASUA Investment Policy

In 1998 Council adopted the policy summarized below.

2.6.1  Statement of Objectives

Whereas:

(a) Council recognizes the need for sound and prudent investment practices to minimize exposure and risk of its funds while maintaining their value against inflation, and to realize investment earnings to support the work of the AASUA; and

(b) The AASUA Council is authorized (Bylaw§5.1.2, 5.1.5) to develop policy for the establishment and management of surpluses and reserves;

the AASUA Council hereby establishes the following policy for the management of surplus and reserve funds:
2.6.2 Authority

Subject to P&P §2.6.3 below, Council authorizes the Executive Committee:

(a) To invest any surplus or reserve funds not required for immediate or short-term disbursement in any of the securities described in P&P §2.6.4 below; and

(b) To redeem any investment so made whenever necessary to meet expenditures, or as prudent from an investment management perspective.

Investment agreements or related documentation must be signed by the Treasurer and one of the other signing authorities of the AASUA (P&P §2.2).

2.6.3 Investment and Redemption Decision Procedures

The Executive Committee shall not make or redeem any investment unless the Executive Committee has first consulted with and given regard to any recommendations made by the Finance Committee of the AASUA.

Before making any recommendation to the Executive Committee, the Finance Committee must seek information respecting investments and management of investments from a variety of appropriate investment agencies, bearing in mind:

(a) Administrative costs;

(b) Total investments in any one institution; and

(c) Investment performance over one-year, ten-year, and other pertinent periods.

2.6.4 Investment Instruments

Investments made by the Executive Committee shall be subject to the following restrictions:

(a) The entire amount of funds available for investment shall not be invested in one institution or type of investment; and

(b) In determining the market value of securities, published market quotations of a recognized stock exchange in Canada or the United States of America shall be relied upon.

2.7 Execution of Investment Policy

In 1995, the Association opened an investment account with Scotia McLeod. In 1997 the Finance Committee decided to open a second account with Manulife Financial. Term investments may be held with the Bank of Montreal as well.
2.8 University Payroll Account

Human Resources Services administers the AASUA payroll, payable by invoice through a University payroll account established for that purpose (April 1999).

2.9 Employment Insurance Rebate

By federal statute, a rebate of EI premiums is provided to employers who provide a required standard of benefit programs. By agreement, the Board of Governors of the University transfers the employee portion of the rebate to the Association, monthly, by cheque.

2.10 Faculty Club Dues

The Association pays for annual Faculty Club dues for the facilitation of Association business (Executive, 1971.3.24).

2.11 Insurance

Council approved (1972.1.21) that the Association carry office liability, employee liability, and travel insurance.

2.12 President’s Fund

The following guidelines were approved for the President’s Fund (Executive, 1984.12.4; Council, 1985.1.23):

(a) Maximum amount, $1,000;

(b) Expenditures may be approved by the Treasurer and one other Officer of the Association;

(c) An annual statement of expenditures from the fund is to be provided to Council; and

(d) Approval of the fund is to be confirmed annually as part of the AASUA budget.

2.13 Sponsorship of External Social Events/Charitable Agencies

Because of the wide variety of requests, the Association has agreed that requests for funds from the Association accounts will be handled by the Executive Committee on an ad hoc basis, but
requests from social, recreational, political, and charitable organizations will not normally be funded. Exceptions may be made where the request is of specific value to university staff members. (Executive, 1982.07.11)

Council has also refused to get involved as an Association in appeals for funds from the members. Instead, they have recommended to members that they participate individually in such matters as, for example, the annual United Way Campaign.

Council (1986.01.28) amended the policy to the effect that the AASUA will not make grants to organizations (which may or may not include groups of AASUA members). The Association budget does have an expenditure line for standing committees, which can request financial assistance from Council for their work. These can include the representative organizations of constituency groups.

### 2.14 Support for Strike Funds at Other Universities

In the event that another faculty association or academic association is engaged in a legal strike, the President may authorize sending up to $1,000 to the striking association. The Executive Committee may authorize sending an amount greater than $1,000 when it deems circumstances warrant.

### 2.15 AASUA Travel Spending Guidelines

The purpose of these guidelines is to set standards that answer the questions individuals may have about specific items; to provide a normative standard against which individuals can measure their own expenditure patterns when travelling on AASUA business; and to provide a benchmark against which those who approve travel claims can assess expense reports. A guiding principle is that travel by AASUA members on AASUA business should facilitate the conduct of that business. (Executive 1987.12.07)

#### 2.15.1 Air Travel

(a) Air travel can be booked through the Association Office or may be booked directly by the member.

(b) Air travel shall be booked and reimbursed at the lowest reasonable fare that facilitates travel.

#### 2.15.2 Ground Transportation

(a) Charges for rail, bus, taxi, limousine, rental vehicle, and personal vehicle usage, including parking fees and tolls, where the usage facilitates travel to/from the intended business,
will be reimbursed.

(b) Reimbursement for personal vehicle use will be at the current CAUT per kilometre rate.

2.15.3 Accommodation

(a) Hotel accommodation shall be reimbursed at single occupancy rates. Members can either book through the Association or directly.

(b) Individuals staying with friends or relatives shall be entitled to claim a per diem charge of $20 in lieu of hotel costs.

2.15.4 Meals

(a) Claims based on standard Association per diem rates need not be supported by receipts.

(b) Meal charges shall be reimbursed at actual expenditures up to reasonable rates, including gratuities. Reasonable claims for wine or beer shall be reimbursed.

(c) Banquet charges or other extraordinary expenses shall be specifically noted on claims.

2.15.5 Insurance

(a) The Association maintains liability and travel insurance for a certain range of Officers and staff. The people covered are determined in the summer of each year. The range of risks insured can also vary somewhat from year to year, so all those travelling on Association business should, at the beginning of each travel year, inform themselves of whether they are covered and for what they are covered. For those who are covered under the Association’s policy, no other travel insurance charges shall be reimbursed.

Anyone travelling on Association business who is not covered by the Association’s insurance coverage, should ensure that s/he has adequate travel insurance coverage arranged, the costs of which will be reimbursed by the Association.

(b) Private automobiles used for Association business are covered under the Association’s policy for public liability risks not normally provided in personal insurance policies when cars are used for business purposes.

(c) Extra collision insurance for rental automobiles shall not normally be reimbursed unless booking through the Association travel card is not possible.

2.15.6 Miscellaneous

(a) Gratuities shall be reimbursed at reasonable rates, and shall be indicated on receipts.

(b) Long distance telephone charges or other charges for communications (e.g., internet
connection) made for business reasons shall be identified and shall be reimbursed. For stays of more than twenty-four hours, personal calls to family shall be reimbursed at a maximum frequency of one call per twenty-four hours.

(c) Laundry, valet, and other personal charges shall normally not be reimbursed. Special circumstances shall be identified on the claim and may be reimbursed.

(d) Unreceipted incidental expenses may be claimed to a total of $15 per day.

2.15.7 Entertainment

(a) Entertainment charges (i.e., the cost of entertaining persons other than just the claimant) may be claimed by Office staff or Officers where the entertainment function is related to the purpose of the travel. Other members shall obtain advance approval from the President or Executive Director, or identify the events and purpose of the expense in detail on the travel claim.

(b) All entertainment charges are either to be itemized on the claim form or as an attachment to it.

(c) Entertainment expenses for the claimant only shall not normally be reimbursed.

2.16 Travel Claim Procedures

2.16.1 Travel Claims

(a) Except for per diem and incidental expense claims, receipts shall be attached for all expenses.

(b) Claims shall be made in Canadian funds. Expenses from other countries shall be shown in the local currency and the appropriate exchange rate shown. (The AASUA office will assist in obtaining official exchange rates.)

(c) The passenger’s copy of the airline ticket shall be attached even though the ticket may have been purchased through the Association.

(d) Extraordinary items or deviations shall be explained on the claim or in a separate letter.

2.16.2 Approvals

(a) Expense claims shall be checked by the AASUA Office staff for completeness and accuracy.

(b) Expense cheques shall be signed by two signing authorities. Extraordinary expenses may be approved by the signing authorities.
(c) No signing authority shall sign or authorize a cheque made out to him or herself.

2.17 **Hospitality**  
*Approved by Council on 17 December, 2009.*

(a) Reasonable expenses for hospitality relating to the work of the AASUA Office and committees may be claimed by representatives of AASUA with the prior approval of the President or Executive Director. These expenses will be charged against the Meetings Expenses budget line. See P&P §2.15.7 for guidelines relating to entertainment during travel.

(b) The Association maintains a membership at the Faculty Club (§2.10), which may also be used for Association-related meetings and functions.

2.18 **Use of Consultants and Service Providers (Non-Legal)**  
*Approved by Council on 17 December, 2009.*

The Association regularly makes use of consultants and other service providers to assist with tasks that cannot or should not (due to conflicts of interest) be undertaken within the Office or through volunteers, or that can be undertaken more efficiently and cost-effectively by an outside contractor. The cost of such services appears under the Consultants line in the budget. In the interests of time and cost efficiency, the Association does not normally tender for contracts that are of a value below $25,000. Policies governing the use of external legal counsel are described in §2.21 and Appendix 3. The following policy applies to the use of non-legal consultants and service-providers:

(a) A tendering process is required for contracts with consultants and other service providers where the value of that contract is equal to or more than $25,000, or is expected cumulatively to exceed $25,000 in any financial year (e.g., for multiple piecework contracts of a similar nature). Three or more written quotations should be sought except where fewer practical options exist; if fewer than three written quotations can be obtained in a reasonable amount of time, then a decision will be made based on the quotes available. Every effort is made to ensure a balance between cost on the one hand, and quality and suitability of the service offered on the other. The Executive Director is responsible for oversight of the tendering process, and reports on the process and makes a recommendation to the Executive Committee, which decides on the award of the contract; the decision is recorded in the Executive Committee minutes.

(b) For contracts below the value described in §2.18.1, the Executive Director, after appropriate consultation with the President (or Vice President or Treasurer in the President’s absence) has the authority to select and award contracts. Every effort is made to ensure a balance between cost on the one hand, and quality and suitability of the service offered on the other.
2.19 Purchase of Equipment, Furniture, and Fittings
Approved by Council on 17 December, 2009.

The Executive Director has the authority to purchase equipment, furniture, and fittings as required for Office use where individual items have a value of less than $5,000 and where the total invoice cost is less than $25,000. The cost of such items appears under the Office Equipment line in the budget. Approval of the Executive Committee is required for purchase of more expensive individual items or where the total invoice cost equals or exceeds $25,000 after provision by the Executive Director of at least two quotes. If only one quote can be obtained in a reasonable amount of time, then a decision will be made by the Executive Committee based on that quote.

2.20 AASUA Dues

2.20.1 Authorization

The Association is authorized to collect dues (General Meeting, 1951.10).

2.20.2 Full-Time Continuing Academic Staff

From January 1, 2008, all full-time continuing academic staff (Academic Faculty, Librarians, Administrative and Professional Officers, and Faculty Service Officers) pay:

(a) AASUA dues: Calculated at a mil rate of 3.45 times the previous year’s average salary of full-time continuing academic staff at the University of Alberta.

(b) CAFA dues: Calculated at a mil rate of 1.16 times the previous year’s average salary of academic staff at CAFA member universities (this figure determined annually by CAFA).

(c) CAUT dues: Calculated at a mil rate of 1.5 times the previous year’s national average salary for each rank (Professor, Associate Professor, Assistant Professor, Other full-time continuing academic staff).

2.20.3 Non-Continuing Academic Staff

All non-continuing academic staff (Contract Academic Staff [Teaching], Trust/Research Academic Staff, and Sessionals and Other Temporary Staff) pay:

(a) AASUA dues: Calculated at a mil rate of 3.45 times each individual salary.

(b) CAFA dues: Calculated at one third the mil rate for full-time continuing academic staff (§2.19.2.2).
(c) CAUT dues: Calculated at a mil rate of 1.5 times the previous year’s national average salary for part-time academic staff.

2.20.4 Collection by Payroll

Dues are collected by payroll deduction on a single levy which combines local (AASUA), provincial (CAFA), and national (CAUT) dues. CAFA and CAUT dues are set by those organizations annually but change very infrequently. These dues are paid onward by the Association according to §2.19.2 and §2.19.3 above.

2.21 Membership Representation and the Use of Legal Counsel

Council approved the policy regarding the use of and financial support for legal counsel (1983.06.14, revised 1997.01.14; 2000.2.08), is included in Appendix 3.1 (Membership Representation).

2.22 Members’ Emergency Fund

The Executive Committee approved creation of a fund to assist members who experience catastrophic loss or medical emergencies. Up to $1000 may be authorized for payment to any one individual, and the Fund is established in the budget at $5000 annually. The policy and administration of the fund are set out in Appendix 4.1. (Executive Committee 1998.09.28)

Part 3. Professional Associations
(Adopted by Council, 2009.05.14)

3.1 CAUT

The Association has been a member of CAUT, except from June 1986 until July 1989 when the Association withdrew membership in CAUT.

The AASUA Council from time to time has reviewed the directions of CAUT.

3.2 CAFA

The Association is a member of the Confederation of Alberta Faculty Associations, along with the University of Lethbridge Faculty Association and Athabasca University Faculty Association.

Under CAFA bylaws, one member of AASUA executive is an officer of CAFA, and three other AASUA members are members of CAFA Council.
Part 4. The Board – AASUA Agreement  
(Approved by Council, 2009.05.04)

4.1 Authority of the Association

4.1.1 Full-time Continuing Appointments

The Association has always asserted the right to represent full-time continuing members of the academic staff. The primary purpose of the Association is to represent the interests of the members of the academic staff of the University of Alberta. The assertion of its authority to speak for its members antedates any formal constitution adopted by the Association.

The authority of the Association to represent its members was recognized formally in 1971, when the Board of Governors agreed to procedures for the representation of the economic interests of the full-time continuing members of the academic staff, and in 1976 with approval of a series of four Agreements governing all conditions of appointment to the full-time continuing staff of the University of Alberta.

Resolutions asserting these principles can be followed in motions of General Meetings. See for example 1965.03.30, when these principles were enunciated; 1966.04.05, when a General Meeting approved the 1966 Faculty Handbook; 1968.10.08, when the authority of the AASUA as a representative of staff was reiterated during discussions leading to the 1968 Faculty Handbook; 1970.04.08, when the authority of the Association to represent faculty on salary matters was reiterated; 1971.03.03, when a petition to GFC reiterating the authority of the Association and recommending procedures for the negotiation of economic conditions was authorized (this petition was subsequently presented to a meeting of GFC with the signatures of over 80 per cent of the members of the Association); 1971.09.23, when the specific negotiating procedures were approved; 1976.04.21, when the Faculty Agreement which formed the model of all subsequent agreements was officially endorsed by a General Meeting; 1983.11.23, when the revisions to the bylaws arising out of the statutory incorporation of the Association were approved. Librarians were specifically recognized as full-time continuing members of the academic staff in the constitutional revision of 1951. Senior, non-faculty administrators historically have been represented by the Association and their representation was formally acknowledged by the Board in a footnote to the 1966 Faculty Agreement.

Since 1976, the Association’s responsibility in representation of full-time continuing members of the academic staff has been explicitly recognized in four agreements: one for faculty, one for librarians, one for administrative/professional officers, and one for faculty service officers. These agreements were approved by ballot of all members. In 1976, the ballot was authorized at the General Meeting (1976.4.21). Approval for ballots for the ratification of amendments was provided in 1976 (1976.10.14), in 1977 (1977.4.21), in 1978 (1978.4.27), 1982 (1982.15.6), in 1985 (1985.12.11), 1993 Faculty Agreement (1993.04.30), 1994 APO Agreement, 1995 Faculty Agreement (1995.05.12), and 1997 Librarian Agreement (1997.07.04), 1998 Faculty Agreement (Council, 1998.01.19). All four Agreements as amended were reprinted July 1, 1998.
4.1.2 Term and Part-Time Appointments

The Association has asserted the right to represent temporary members of the academic staff and part-time members of the academic staff (General Meeting, 1974.5.9). The Board acknowledged that the rules and regulations governing employment of full-time temporary staff would not be amended except after consultation with the AASUA (Regulation A6, Rules and Regulations Governing the Employment of Full-time Temporary Academic Staff).

In a ballot conducted in December, 1995, the existing membership and members of Sessionals and Other Temporary Staff group (then referred to generally as “sessionals”) endorsed the Association’s application to the Board to represent that group (Council, 1995.11.21). In December 1996, AASUA members approved a resolution for representation of Sessionals and Other Temporary Staff; Board designation followed in January 1997. Council (1998.04.23) authorized a mail ballot to approve a first contract, which was ratified and went into effect September 1, 1998.

In 2006, the Contract Academic Staff (Teaching) group was designated by the Board of Governors as a separate category of academic staff, drawn from the pre-existing Sessionals and Other Temporary Staff group. CAS(T) became a formal separate bargaining group within the academic staff association (BoG, 17 March 2006). Their membership of the Association was approved by Council on 20 April 2006, and their first collective agreement was agreed 1 July 2006.

Trust/Research Academic Staff were designated by the Board as academic staff members on 15 June 2006. Their membership of the Association was approved by Council on 16 June 2006, and their first collective agreement was agreed on 1 July 2006.

4.2 Amending the Agreement

Amendments to the Agreements are considered and negotiated by joint Board–AASUA Agreement Review Committees as defined in each collective agreement. Amendments agreed to are submitted to the Board and to the Association membership (via the Council) for ratification (by precedent, to AASUA members by ballot). In the absence of agreement, the status quo pertains. (Post-secondary Learning Act 2003 §87(1)(7). Changes take effect upon ratification or as otherwise determined.

The AASUA Council is authorized and empowered “to make editorial changes to all parts of the Agreement not affecting matters of principle as may be requested by the Board of Governors and General Faculties Council, or as Council considers appropriate to give effect to the Agreement.” (General Meeting, 1976.10.14)

Salary scales and benefits programs are agreed upon through separate memoranda negotiated in accordance with articles in each collective agreement. Benefits are also guaranteed by articles in each collective agreement.

4.3 Agreement Review Committee

The Agreement Review Committee is established and defined in each of the collective agreements.
4.4 Salary Negotiations

Salary negotiations for all groups are dealt with at one table.

Procedures for salary negotiations are set out in each collective agreement. For history of current practices, refer to the most recent Final Report of the bargaining committee.

4.5 Interpretation of the Agreement, Grievance Procedures, Arbitration

Each collective agreement contains sections that deal with interpretation of the Agreement, grievance procedures, and arbitration.

Part 5. University Relations

(Approved by Council, 2009.05.14)
(Minor revisions: Approved by Council 21 January, 2010)

5.1 AASUA REPRESENTATION ON UNIVERSITY COMMITTEES

5.1.1 General Faculties Council

The President of the Association is appointed to General Faculties Council as a voting member.

5.1.2 Board of Governors

Two members of the academic staff of the university, one of whom is nominated by the General Faculties Council and one of whom is nominated by the AASUA, serve on the Board of Governors (Post-secondary Learning Act, 2003 16(3)(iii)). The Association’s Nominee is elected by the Council. The Nominee is appointed to the Board by the Minister. See Appendix 2.1 for details.

The President of the Association is invited to Board meetings as an observer.

5.1.3 Selection/Review Committees for University President and Vice Presidents

The AASUA is asked to nominate a representative on selection committees for University President and Vice Presidents. Council (1997.11.27) specified that the AASUA President, Vice President, or another member of the Executive, chosen by the Executive, in that order, serve as the Association’s representative on advisory committees for the selection or review of a University President or Vice President.

5.1.4 Selection of General Appeals Committee Panel

The AASUA President and the University President jointly name a panel of members for selection to the General Appeals Committees.
5.1.5 Academic Planning Committee of General Faculties Council

The President of the Association is invited to GFC-APC meetings as an observer.

5.1.6 University Research Policy Committee

One member of the Association (normally the Chair of the Association’s Research and Scholarly Activity Committee) serves on the URPC.

5.1.7 Academic Benefits Management Committee

The President, Executive Director, and Chair of the Association’s Economic Benefits Committee serve on the Academic Benefits Management Committee for indefinite terms. See Appendix 2.2 for details.

5.1.8 Universities Academic Pension Plan

The Association is one of the Plan Sponsors. (The Plan Sponsors are the boards of governors and the academic staff associations of the four Alberta universities and the Banff Centre.) The President or delegate represents the Association as Sponsor. The AASUA names one of the employee nominees to the Board of Trustees, and has representation on the Sponsors’ Working Group.

5.1.9 Security Advisory Committee

A representative of AASUA is nominated by the Association for appointment to the University’s Security Advisory Committee for a three-year term by the Vice President (Finance and Administration). See Appendix 2.3 for details.

5.1.10 Other University Committees

Association representatives serve on other university committees as required.

5.1.11 Reporting

The AASUA representatives report to the Executive Committee and Council from time to time and may bring issues for discussion. There is no formal policy for reporting.

5.2 Positions on Selected University Policies

5.2.1 Student Evaluation of Teaching

The Association was consulted about and influenced the development of the GFC policy, particularly regarding the publication of data and the addition of a disclaimer regarding potential bias in the questionnaire. Guidelines emphasize that the survey results should be only part of the criteria considered in the FEC review of performance. (Council, 1995.04.19)
The evaluation of teaching is of importance to the Association and its members.

5.2.2 Tuition Increase

Council agreed not to comment on the Board’s proposal to increase tuition (1998.11.16), preferring to work with CAFA to persuade the Alberta government of the need for adequate funding.

5.2.3 Copyright and Patent Policies

Copyright and Patent Policies form appendices to (some of) the collective agreements. Notwithstanding the status of these policies as appendices within the agreements, the Association’s position is that these policies can be changed by the Association only after the proposed changes have been approved by the (affected) membership.
APPENDICES

(Fully revised and approved by Council on 18 February, 2010)

1. Terms of Reference of AASUA Committees
   1.1 Standing Committees
      1.1.1 Personnel Committee
      1.1.2 Members’ Advisory Committee
      1.1.3 Governance Committee
      1.1.4 Equity Committee
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   1.2 Constituency Committees
      1.2.1 Academic Faculty Committee
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2. Documents referring to external representation of AASUA
   2.1 Board of Governors AASUA Representative
   2.2 Academic Benefits Management Committee
   2.3 Security Advisory Committee
   2.4 UAPP Committees

3. Documents referring to the Association’s obligations to its members
   3.1 Membership Representation
   3.2 AASUA External Legal Expenditures Policy

4. Financial documents
   4.1 Members’ Emergency Fund

5. Historical documents
   5.1 AASUA History
   5.2 AASUA Past Presidents

6. Acronyms and Definitions
Appendix 1: Terms of Reference of AASUA Committees

Appendix 1.1: Standing Committees, Terms of Reference

Appendix 1.1.1: Personnel Committee
(Executive Committee, 1999.12.07)

The Personnel Committee provides advice to the Executive Committee on AASUA staff matters: staffing needs, appointment and dismissal procedures, change of classification structure and incrementation structure. The Executive Committee is the decision-making authority. The Personnel Committee is a standing committee of the Executive Committee, whose terms of reference are approved by Council. (Bylaws §5.2)

As a sub-committee of the Executive Committee, the Personnel Committee is limited to providing advice to the Executive Committee, and to taking action upon the direction of the Executive Committee.

Article 1: Responsibilities:

The Personnel Committee advises the Executive in matters relating to employees of the Association. These matters shall include, at a minimum, but are not limited to:

- Staff recruitment and appointment procedures.
- Job descriptions.
- Assessing Hay Points or similar scales for the establishment of position levels.
- Personnel policy and guidelines.
- Staff evaluation processes.
- Ensuring all staff have written contracts.
- Ensuring consistency of principles across the contracts of individual staff members (as appropriate).
- Review of all staff contracts every 5 years (P&P §1.8.3)
- Professional development planning for staff.

These responsibilities are constrained by the roles of other Association bodies:

- Executive Director determines the office’s staffing needs and the budgetary implications.
- Executive Committee approves the creation of new positions or major realignments of function within the office that entail continuing and significant financial obligations.
- Officers and Executive Committee approve job description and financial implications of Hay Points (or equivalent) system(s).
The terms of personal contracts between individuals and the Association take precedence over the clauses of this Manual.

**Article 2: Membership**

This committee shall be composed of three members elected by members of the Executive Committee for one-year terms. Executive Committee will name the chair. The President is an ex officio member.

The Chair of the Personnel Committee is a Director and a member of the Executive Committee (and therefore Council). (Council, 2008.11.20)

**Article 3: Reporting**

The Personnel Committee shall report its advice and recommendations to the Executive Committee at regular Executive Committee meetings. These shall be in the form of written reports, distributed to members prior to meetings.

**Article 4: Budget**

The Personnel Committee has no spending authority.

**Appendix 1.1.2: AASUA Members’ Advisory Committee**

(approved at Council 2008.09.25)

**Article 1: Name**

The name of the committee is the AASUA Members’ Advisory Committee (“Members’ Advisory Committee” or “MAC”).

**Article 2: Authority**

2.1 The Members’ Advisory Committee was established by AASUA Council.

2.2 The Members’ Advisory Committee is an advisory committee of AASUA Executive Committee, and is a standing committee of the Association.
Article 3: Objectives

The objectives of the Members’ Advisory Committee, as delegated by the Executive Committee are:

3.1 To exercise the AASUA Council’s authority to monitor and assure the Administration’s compliance with the collective agreements.

3.2 To receive advice and to provide advice to the Executive Director and Membership Services Officers.

3.3 To provide practical advice on problems experienced by members regarding relationships with collective agreements, or issues relating to any aspect of their working relationship with the University, including performance review, tenure, leave provisions, promotion, incrementation, pensions, retirement, and discipline.

3.4 To hear representations and appeals from members.

3.5 To review and recommend expenditures for legal costs, grievances and arbitrations subject to limits established by the Executive Committee.

Article 4: Membership and Voting

4.1 At least four members of the Members’ Advisory Committee are selected on the basis of experience in the University and their ability to represent the wide range of academic interests of the AASUA’s constituent groups (Faculty, Administrative and Professional Officers, Librarians, Faculty Service Officers, Sessionals and Other Temporary Staff, Contract Academic Staff Teaching, and Trust/Research Academic Staff). MAC membership includes, ex officio, the Association President, Vice President, Past President, Membership Services Officers, and Executive Director. The Executive Director and Membership Services Officers are non-voting members.

4.2 Each member of the Members’ Advisory Committee is entitled to one vote on all motions put to the Committee at a duly called meeting.

4.3 Motions are adopted by a simple majority of members who vote at a meeting. The Chair does not normally vote except when this would change the outcome of the vote.

4.4 Quorum for Members’ Advisory Committee Meetings will be 50% of the Committee membership (rounded up).

4.5 Meetings will be held as required, but at a minimum three times a year.
Appendix 1.1.3: Governance Committee

Approved by Council on 17 December, 2009.

That a standing committee of AASUA Council be established with the statutory responsibilities of:

- Periodic review of the Bylaws (Bylaws §11.2).
- Annual review of Policies & Procedures.
- Triennial review of the minimum number of members-at-large of Council (Bylaws §6.2.10).
- Triennial review of the number of representatives for each constituency group on Council (Bylaws §6.4, P&P §1.4).
- Oversight of the application of Robert’s Rules of Order in Council (P&P §1.3.3).

Terms of Reference

1. Authority

The Governance Committee is a Standing Committee of Council.

2. Membership

2.1 The voting members of the Governance Committee are the Vice President as Chair (see §3.2), the President (ex officio), the Past President, and three members of Council.

2.2 The Chair of the Governance Committee brings forward annually to Council for approval (normally in October) a slate of three committee members drawn from Council and chosen to provide a broad representation of the AASUA membership.

2.3 The Executive Director is an ex officio non-voting member of the Governance Committee.

2.4 The Parliamentarian (Bylaws §6.16) is an ex officio non-voting member of the Governance Committee.

3. Voting

3.1 Each voting member of the Governance Committee shall have a vote, except:

3.2 The Chair does not vote unless that vote would change the outcome of a vote (i.e., by creating or breaking a tied vote); in such cases, the Chair may vote or abstain.

4. Duties

The Governance Committee shall:

4.1 Conduct a periodic review of the Bylaws (Bylaws §11.2). This review shall be conducted triennially, or more frequently as required. The committee may recommend changes to the Bylaws, which are considered and approved first by the Executive Committee, then by Council, and are adopted by a two-thirds majority vote of the membership (Bylaws §11.1)
4.2 Conduct an annual review and update of the Policies and Procedures Manual, or more frequently as required. Recommended updates and changes are considered and approved first by the Executive Committee, and are adopted by a simple majority vote of Council (Bylaws §4.3).

4.3 Conduct a triennial review of the minimum number of members-at-large of Council (Bylaws §6.2.10).

4.4 Conduct a triennial review of the number of representatives for each constituency group on Council (Bylaws §6.4, P&P §1.4).

4.5 Oversee all voting procedures and polls of the membership; monitor and evaluate the efficiency, reliability, and security of software tools used for electronic voting (Bylaws §6, P&P §1.7).

4.6 Monitor compliance with Bylaws and Policies and Procedures, and report any deviation to the Executive Committee.

4.7 Oversee and review the application of Robert’s Rules of Order in Council (P&P §1.3.3).

4.8 Oversee the annual orientation process for new Councillors and Directors of the Association.

4.9 When required, nominate a Parliamentarian to advise and assist the business of Council (Bylaws §6.16).

4.10 At its discretion, monitor and review the conduct, performance, and attendance at meetings of Officers and Directors of the Association. In accordance with Bylaws §5.1.9 and §7.9, the Governance Committee may recommend to Council the removal from office of an Officer or Director.

4.11 Carry out other functions within this general mandate as directed by the President, Executive Committee, or Council of AASUA.

Appendix 1.1.4: Equity Committee

TBA

Appendix 1.1.5: Finance Committee

TBA

Appendix 1.1.6: Salary Committee

Article 1: Name

1.1 The name of the committee is the AASUA Salary Committee.

Article 2: Authority

2.1 The Salary Committee was established by AASUA Council, and is a Standing Committee of the AASUA Council.
Article 3: Objectives

The objectives of the Salary Committee are:

3.1 To gather and analyze information from constituency members on compensation bargaining priorities; to gather and analyze comparative data relating to salary, salary scales, merit pay, and related compensation issues (excluding pension and benefits); to provide this information to the Bargaining Team for use in developing negotiating positions; to provide feedback to the Bargaining Team on negotiating positions.

3.2 To work constructively within AASUA to advance the common interests of all AASUA members regarding compensation matters.

Article 4: Membership

4.1 Each AASUA constituency group other than Academic Faculty may nominate a member to the Salary Committee. It is the task of that individual to function as a liaison between the constituency group and the Salary Committee, and to gather information on pertinent matters from the constituency for the Salary Committee.

4.2 The Academic Faculty Committee may nominate up to three members to the Salary Committee to assist in information gathering from the broader membership of the constituency. One individual will be designated with the liaison role between the Salary Committee and the Academic Faculty Committee.

4.3 Normally the term of a member on the Salary Committee will be two years; a constituency committee may choose a different term for its representative. Members may serve consecutive terms at the request of a constituency committee.

4.4 The Chair of the Salary Committee is elected by AASUA Council and will report to the AASUA Council.

4.5 The President and Executive Director of AASUA are ex-officio members of the Salary Committee.

4.6 Quorum for Salary Committee meetings will be 50% of the Committee membership (rounded up).

4.7 Meetings will be held as required, but at minimum three times per year.

4.8 In the event that there are differences regarding priority of bargaining items, it is the role of the Chair of the Salary Committee to report these differences to Council. The Salary Committee members will communicate these differences to the constituency committees in order to provide background for an informed discussion at Council.
Article 5: Amendment of Terms of Reference

5.1 Amendments to the Terms of Reference of the Salary Committee must be approved initially by a majority of Committee members who vote at a duly called meeting.

5.2 To take effect, amendments must subsequently be approved by a majority at AASUA Council.

Appendix 1.1.7: Economic Benefits Committee
TBA

Appendix 1.1.8: Research & Scholarly Activity Committee
(Approved by Council on 17 March, 2011)

Article 1: Name

1.1 The name of the committee is the AASUA Research and Scholarly Activity Committee.

Article 2: Authority

2.1 The Council Research and Scholarly Activity Committee was established by AASUA Council and is a standing committee of the AASUA Council.

Article 3: Objectives

The objectives of the Research and Scholarly Activity Committee are:

3.1 To promote research and scholarly activity on campus.

3.2 To identify, in consultation with the AASUA membership, campus-wide issues of concern regarding research and scholarly activity.

3.3 To discuss the items in 3.2, and bring these issues to the attention of the University Research Policy Committee (URPC), and the offices of the Vice President (Research).

3.4 To provide advice to the AASUA on policy matters relating to research and scholarly activity on campus.

3.5 To provide advise on research-related issues to the office of the Vice President (Research), through the University Research Policy Committee (chaired by the Vice President (Research)). The VP (Research) makes a number of appointments to the URPC, one of which is an association representative, customarily the chair of the RSA Committee or delegate.
Article 4: Membership

4.1 Members are invited to serve on the committee by the Chair. The Chair will seek to have representation from all AASUA constituency groups who are expected to be representative of AASUA members participating in research and scholarly activities.

4.2 The normal term of membership would be 2 years. Members may serve consecutive terms.

4.3 The nominating committee of the AASUA will nominate the Chair for consideration of the AASUA Council. The Chair of the Research and Scholarly Activity Committee is elected by AASUA Council and will report to the AASUA Council.

4.3.1 Duties of the Chair include: a) Serves on the AASUA Executive Committee. b) Serves on the AASUA Council. c) Serves as the AASUA representative on the University Research Planning Committee (URPC).

4.4 The President and Executive Director of AASUA are ex-officio members of the Research and Scholarly Activity Committee.

4.5 Quorum for Research and Scholarly Activity Committee meetings will be 25% of the Committee membership (rounded up).

4.6 Meetings will be held as required, but at a minimum of 4 times per year.

4.7 Minutes of all Research and Scholarly Activity Committee meetings should be filed with AASUA records.

Article 5: Amendments to Terms of Reference

5.1 Amendments to the Terms of Reference of the Scholarly Activity Committee must be approved initially by a majority of Committee members who vote at a duly called meeting of the committee.

5.2 To take effect, amendments must subsequently be approved by a majority at AASUA Council.

Article 6: Promotion of research and scholarly activities on campus

6.1 Promotion includes activities such as a) Hosting workshops b) Organizing input from members through Town Hall Meetings or surveys c) Developing articles for AASUA newsletter publications d) Presenting to other groups on and off campus e) Development of “White Papers” for consideration by administration
Appendix 1.1.9: Teaching & Learning Committee  
(Approved by AASUA Council on 17 November 2011)

Article 1: Name

The name of the Committee is the Teaching & Learning Committee.

Article 2: Authority

2.1 The Teaching & Learning Committee was established by AASUA Council and is a standing committee of the AASUA Council.

Article 3: Objects

The AASUA Bylaws state that the role of the Teaching & Learning Committee is to promote effective teaching and learning on campus. The committee will achieve this by:

3.1 Identifying AASUA members’ issues of concern regarding teaching and learning;

3.2 Working in consultation with AASUA members and in collaboration with the Students’ Union and Graduate Students’ Association to bring relevant teaching issues to the attention of the Executive Committee and Council for consideration;

3.3 Advising the AASUA on existing and proposed University teaching policies;

3.4 Advising the Vice President (Academic) and Provost and others, on AASUA members’ views on teaching related issues; and

3.5 Providing a link between the Association and those units and committees whose primary focus is teaching in its widest possible sense, such as Committee for Learning Environment (GFC sub-committee), Centre for Teaching & Learning, and appropriate associate Vice President offices, or other AASUA committees.

Article 4: Membership and Voting

4.1 Members are invited to serve on the Teaching & Learning Committee by the committee Chair. The Chair will seek representation from all AASUA constituency groups that include members participating in teaching and learning activities.

4.2 The normal term of membership is 2 years. Members may serve consecutive terms.

4.3 The nominating committee of the AASUA will annually nominate the Teaching & Learning Committee Chair, for election by AASUA Council. The Chair may serve consecutive terms.
4.3.1 Duties of the Chair include:
   a) Serves on the AASUA Executive Committee, and makes regular reports to that committee.
   b) Serves on the AASUA Council, and makes regular reports to Council.
   c) Serves as a non-voting member of the Committee for Learning Environment, and other University committees as invited.

4.4 The President and Executive Director of AASUA are ex-officio members of the Teaching & Learning Committee.

4.5 Non-voting members include a representative from the Students’ Union and the Graduate Students’ Association, and the Vice-Provost (Academic) or delegate.

Article 5: Committee Meetings

5.1 Quorum for Teaching & Learning Committee meetings is 25% of the Committee membership (rounded up).

5.2 Meetings are held as required, but with a minimum of 4 meetings per year.

5.3 Minutes of all Teaching & Learning Committee meetings are filed with AASUA records.

Article 6: Promotion of teaching and learning activities on campus

6.1 Promotion includes activities such as:
   a) Hosting and/or participating in workshops;
   b) Organizing input from members through Town Hall Meetings or surveys;
   c) Developing articles for AASUA newsletter publications;
   d) Presenting to other groups on and off campus;
   e) Development of “White Papers” for consideration by administration.

Article 7: Amendment of Terms of Reference

7.1 Amendments to the Terms of Reference of the Teaching & Learning Committee must be approved initially by a simple majority of committee members who vote at a duly called committee meeting.

7.2 To take effect, amendments must subsequently be approved by a simple majority at AASUA Council.
Appendix 1.2.1: Academic Faculty Committee
(AASUA Academic Faculty Committee, approved Council 2007.11.21, amended and approved Council 2010.05.20)

Article 1: Name

The name of the Committee of Academic Faculty Representatives on AASUA Council is the AASUA Academic Faculty Committee (“Academic Faculty Committee”).

Article 2: Authority

2.1 The Academic Faculty Committee was established by AASUA Council on 21st November 2007.

2.2 The Academic Faculty Committee is a constituency committee of AASUA Council, and has no authority over Council.

Article 3: Objects

The objects of the Academic Faculty Committee are:

3.1 To provide a forum for discussion of issues that specifically affect academic faculty members of AASUA. Academic faculty members are all those employed at the University of Alberta under the Faculty Agreement.

3.2 To formulate recommendations regarding these issues to be brought to AASUA Council.

3.3 To build a collegial community of academic faculty members.

3.4 To work constructively within AASUA to advance the common interests of all AASUA members.

3.5 To promote teaching, research, and public service as the core functions of the University of Alberta.

3.6 To promote and defend academic freedom.

Article 4: Membership and Voting

4.1 Members of the Academic Faculty Committee are all those academic faculty members (as defined by the Board of Governors) serving on AASUA Council, including academic faculty members-at-large on Council, and academic faculty members of the Executive
Committee of AASUA, but excluding AASUA Officers.

4.2 Non-voting members of the Academic Faculty Committee are the President and Executive Director of AASUA (ex-officio).

4.3 The Academic Faculty Committee will annually elect a Chair and Vice-Chair from among its members, to serve for a term of one year each. Normally, the Vice-Chair becomes Chair in the following year. Elections of the Chair and Vice-Chair are prior to AASUA Council elections, so that their names can be presented to AASUA Council in June for approval along with names of new Councillors.

4.4 Each member of the Academic Faculty Committee is entitled to one vote on all resolutions put to the Committee at a duly called meeting.

4.5 Resolutions are adopted by a simple majority of members who vote at a meeting. The Chair does not normally vote except when this would change the outcome of the vote.

4.6 Quorum for Academic Faculty Committee meetings will be 25% of the Committee membership (rounded up).

4.7 Meetings will be held three times per academic year in September, January, and June/July or more frequently as required.

Article 5: Amendment of Terms of Reference

5.1 Amendments to the Terms of Reference of the Academic Faculty Committee must be approved initially by a two-thirds (2/3) majority of Committee members who vote at a duly called meeting.

5.2 To take effect, amendments must subsequently be approved at AASUA Council.

Appendix 1.2.2: APO Committee
(Approved by AASUA Council 2008.10.30)

Article 1: Purpose

The Administrative and Professional Officers Committee (“APO Committee”) is a Constituency Committee of the AASUA. The goals of APO Committee are to:

1.1 Advance and protect the individual and collective interests of all Administrative/Professional Officers at the University of Alberta.
1.2 Provide an effective channel of communication for matters of interest and concern to
APOs, and promote APO information exchange and networking.

1.3 Promote a fully effective role for APOs in contributing to the University’s success, and
where appropriate, seek the identification and removal of impediments to such a role.

1.4 Promote an efficient and effective University administrative infrastructure that allows the
University of Alberta to fulfill its mission and vision in a timely and cost-effective
manner.

1.5 Work with other members of the Association of Academic Staff to protect independence
of thought and freedom on teaching and research.

Article 2: Representation and Participation

2.1 Individuals whom the APO Committee represents, and who are eligible to vote and
participate in the APO Committee’s elections, annual general meeting, and special
events, include:
   a) all staff governed by the AASUA-APO Collective Agreement, and
   b) all staff hired as contract/term APOs under the appropriate AASUA staff
      agreement.

Article 3: Definition of Membership

3.1 The VOTING membership of the APO committee includes members distributed into 4
categories of membership:

- Executive Committee members
- AASUA Committee members
- AASUA Council members
- University Committee members

The VOTING membership of the APO Committee shall consist of the following:

3.1.1 Executive members:
   3.1.1.1 The Chair, elected each year at the APO Annual General Meeting;
   3.1.1.2 The Vice-Chair, elected each year at the APO Annual General Meeting;
   3.1.1.3 The immediate Past Chair.
3.1.2 AASUA Committee members: who are recommended to the Chair of each of the AASUA Committees through the nomination process overseen by the APO Nominations Subcommittee:

3.1.3 AASUA Council Members who are appointed/elected through the nomination process overseen by the APO Nominations Subcommittee:

3.1.4 University Committee members: who are appointed/elected through the normal university selection process.

3.1.4.1 One APO who is a member of the APO Position Evaluation Panel.

3.1.4.2 One APO who is the APO representative on GFC.

Note: it is the goal of the APO Committee to have a broad spectrum of APO members who represent a wide variety of units from across the campus.

3.2 The NON-VOTING membership of the APO Committee shall consist of the following:

3.2.1 The AASUA President (ex officio)

3.2.2 The AASUA Executive Director (ex officio)

3.3 If interested in serving on the APO Committee, APOs who act in capacities in which there are potential conflict of interest situations (such as individuals who actively participate on behalf of the University’s central administration in strategizing or negotiating bargaining issues pertaining to APOs) must identify the potential conflict of interest situation to the APO Nominations Subcommittee at the time of nomination. If a similar conflict situation arises with an active APO Committee member, the individual must bring the potential conflict of interest to the attention of the APO Committee at the time a potential conflict arises. The Committee will then rule as to whether the individual may continue serving the Committee.

Article 4: APO Committee: Officers

4.1 The Chair of the APO Committee shall:

a) Represent and communicate APO concerns at meetings of the AASUA Executive and AASUA Council

b) Submit an oral report at all meetings of the APO Committee and a formal, written report to all APOs at APO Annual General Meeting

c) Call (and normally chair) APO Committee, APO Committee Executive, and APO
Appendix 1

Annual General Meetings

d) Take overall responsibility for the effective operation of the APO Committee.

Specifically, the Chair sits on the following bodies:

- AASUA Council - Member
- AASUA Executive - Member

4.2 The Vice-Chair of the APO Committee shall:

Whenever and wherever required, take over all duties of the Chair of the Chair of the APO Committee in the absence of the Chair.

Specifically, the Vice-Chair of the APO Committee sits on the following bodies;

- AASUA Council - Member

4.3 The Immediate Past Chair of the APO Committee shall:

Call (and normally chair) all meetings of the APO Nominations Subcommittee.

Article 5: APO Committee: Executive

5.1 The Executive of the APO Committee shall consist of the Chair, the Vice-Chair and the immediate Past Chair.

5.2 Should it be required in the absence of scheduled meetings, or due to the inability to meet quorum requirements during the summer, the APO Committee Executive shall act on behalf of the entire Committee during the months of June, July, and August. Under these circumstances, decisions will involve all reasonable efforts to seek appropriate consultation with those committee members who are unavailable at the time, and other APOs as appropriate.

5.3 Beyond the direct input of the APO Committee members, the Executive will ensure that regular communication with APOs is maintained, particularly with those APOs who sit on other, university-wide committees.

Article 6: APO Committee: Members

6.1 The term of office for each Executive member is one (1) year, commencing July 1st.

6.2 The term of office for each AASUA Council member is one (1) year, commencing July 1st.
6.3 The term of office for all other members is the same as the term of their appointment to the AASUA Standing Committee to which they have been recommended.

6.4 The term of office for non-voting members is the same as the term of their appointment as an officer of the AASUA.

6.5 Members will be designated annually to deal with specific areas of activity, such as:

- AGM Planning and Coordination
- Communications and Social Events
- Education/Training/Professional Development

Article 7: APO Nominations Subcommittee

7.1 At the first meeting of each year’s APO Committee, the APO Committee shall form the Nominations Sub-committee.

7.2 The Nominations Sub-Committee shall be composed of two (2) eligible members of the APO Committee and the immediate Past Chair, who shall serve as non-voting convener. In the event that the immediate Past Chair is unable to serve, the APO Committee shall elect a convener. The Nominating Sub-Committee, as constituted, shall provide nominations as required during the year, taking action when necessary to fill and maintain the appropriate membership roster of the APO Committee.

7.3 The Nominations Sub-Committee shall advertise for nominations by communicating with all APOs prior to presenting its list of nominations to the APO Committee. The APO Committee shall have the right to add additional names in nomination concerning any election.

7.4 The Nominations Sub-Committee shall prepare and submit a list of nominees for vacant APO Committee positions by March 15 of each year. Additional nominations may be received until April 15 from any members of the APO community by delivering a written nomination to the Chair (or, in the event that the Chair cannot be located or is absent from campus, to the AASUA office). The signature of at least one (1) supporting APO, plus the written approval of the nominee, must support such nominations. When required, a ballot shall thereupon be circulated.

7.5 The report of the Nominations Sub-Committee shall be sent to all members of the APO community at least two (2) weeks prior to the date set for the election at the Annual General meeting. If positions remain or become vacant at any time, nominations will be received.

7.6 The procedures by which the elections shall be conducted shall be determined by the APO Committee and communicated to all members of the APO community. Such communication may be done electronically or by hard copy. Election results will be
forwarded to the AASUA Nominating Committee per AASUA Bylaws.

**Article 8: APO Committee: Meetings**

8.1 A minimum of 6 meetings of the APO Committee will be held during the September to April period.

8.2 The Annual General Meeting will be held in May of each year.

8.3 Any additional meetings will be held at the call of the Chair.

8.4 Meetings may be attended by individuals who are not APO Committee Members, when invited by the Chair.

8.5 The quorum of all APO Committee meetings shall be 6 VOTING members.

**Article 9: APO General Meetings.**

9.1 Purpose: a general meeting of APOs shall be held annually in order to:

   a) Elect the required officers and members of the APO Committee;

   b) Provide a forum for the annual reporting of the APO Committee’s activities;

   c) Discuss and transact business related to Committee governance and terms of reference; and

   d) Discuss and transact any other business as may be deemed appropriate.

9.2 Organization and Proceedings:

   9.2.1 The APO AGM shall normally be held in May of each year.

   9.2.2 The APO AGM shall normally be called and chaired by the Chair of the APO Committee, with at least 45 days notice.

   9.2.3 The Agenda for the AGM shall be presented by the Chair to the APO Committee and approved at a meeting at least 30 days prior to the Annual General Meeting.

   9.2.4 The APO AGM quorum is 30 members; quorum requirements are to be reviewed every 3 years.

   9.2.5 Meetings may be attended by individuals who are not APOs or APO Committee Members, when invited by the Chair.
9.2.6  Motions must be included on the agenda - if provided in writing to the APO Committee Chair not less than 10 days in advance of the AGM, with the written support of at least five (5) APOs.

9.2.7  All APOs in attendance at the APO AGM are entitled to vote. Voting shall normally be conducted using the electronic voting system.

9.2.8  In cases where the APO AGM Chair judges that frank and effective discussions will be unduly hindered by the presence of individuals who may be considered to be in a conflict of interest situation with respect to their positions in the university’s central administration, the Chair may require that such individuals temporarily leave the meeting for the duration of those particular proceedings.

Article 10 - Amendments to Terms of Reference

10.1  The APO Committee’s Terms of Reference may only be amended by a motion passed by a 2/3 majority of APOs voting at the Annual General Meeting, or voting via a mailed-out ballot overseen by the APO Committee.

10.2  Motions to amend the Terms of Reference may not be made at the APO Annual General Meeting, unless the motion has been on the Agenda for at least 10 days prior to the Annual General Meeting.

Appendix 1.2.3: Faculty Service Officers Committee
(Approved by AASUA Council on 19 March, 2009)

Article 1: Name

The name of the AASUA constituency committee that represents Faculty Service Officers is the AASUA Faculty Service Officers Committee ("FSO Committee").

Article 2: Authority

2.1  The FSO Committee was established by AASUA Council on 19 March, 2009.

2.2  The FSO Committee is a constituency committee of AASUA Council, and has no authority over Council. It represents those members who are defined and bound by the Faculty Service Officer Collective Agreement.

Article 3: Objectives
The objectives of the FSO Committee are:

3.1 To provide a forum for discussion of issues that either directly or indirectly affect Faculty Service Officers’ activities and duties at the University of Alberta. Faculty Service Officers are members of AASUA and are employed at the University of Alberta under the Faculty Service Officer Agreement.

3.2 To formulate recommendations regarding these issues to be brought to AASUA Council.

3.3 To build a collegial community of all academic faculty members.

3.4 To work constructively within AASUA to advance the common interests of all AASUA members.

3.5 To promote excellence in teaching, research, and public service as the core functions of the University of Alberta.

**Article 4: Membership and Voting**

4.1 All Faculty Service Officers are voting members of the FSO Committee, unless they are also Officers of the Association.

4.2 Quorum for FSO Committee meetings will be 10% of the FSO Committee membership (rounded to the nearest whole number).

4.3 Resolutions are adopted by a simple majority of members who attend and vote at a meeting.

4.4 Non-voting members of the FSO Committee are the President and Executive Director of AASUA (ex-officio).

4.5 The Officers of the FSO Committee will consist of a minimum of a Chair, Vice-Chair, and Secretary. These positions are filled by Faculty Service Officer members for renewable three-year terms (each term from July 1 to June 30).

4.6 A minimum of two members of the FSO Committee, including the Chair and Vice-Chair, serve on AASUA Council. The Chair of the FSO Committee is also a Director of AASUA, and serves on the Executive Committee. Additional AASUA Council members may be elected if Council so directs.

4.7 Elections of the Chair, Vice-Chair, and Secretary of the FSO Committee, and any additional Council representatives (as per §4.5 and 4.6) are held prior to AASUA Council elections (normally in March of the same year). The names of the duly elected Chair and Vice-Chair, and any additional Council representatives are presented to the AASUA.
Appendix 1

Nominating Committee for approval by Council as part of the AASUA elections process.

4.8 A Nominations Committee for electing Officers of the FSO Committee shall be composed of three eligible members of the FSO Committee and the immediate past Chair of the FSO Committee, who shall serve as non-voting convener. In the event that the immediate past Chair of the FSO Committee is unavailable, the FSO Committee shall select another past Officer of the FSO Committee to serve as convener. The Nominations Committee shall provide nominations as required during the year, taking action when necessary to fill and maintain the appropriate membership of the FSO Committee.

4.9 The Officers of the FSO Committee shall be elected by postal or electronic ballot circulated to all Faculty Services Officers. Faculty Services Officers shall be invited to submit nominations for Officers of the FSO Committee, and each nomination must be signed by one nominator and the nominee. Every attempt shall be made by the Nominating Committee (as per §4.8) to find two or more nominations for each position on the FSO Committee, but in the event of insufficient nominations, the single nominee shall be submitted to the vote of approval of the AASUA Executive and Council. Elections will be decided by a majority vote. In the event of a tie, the tie may be broken by agreement between the two nominees whose votes are equal, and members of the Faculty Service Officers Committee. If an agreement cannot be reached, a new election shall be held for the tied position.

4.10 According to AASUA Bylaws §6.6, each Faculty Service Officer representative on AASUA Council may send an alternate delegate to a Council meeting if the representative cannot attend. The name of the alternate should be provided to the presiding officer prior to the Council meeting.

4.11 The FSO Committee may decide to bring matters forward for discussion or approval by AASUA Council. Such issues are normally brought first to the Executive Committee by the Chair of the FSO Committee. If the Executive decides that wider discussion or Council approval is required, the matter is then brought before the full Council by the Chair of the FSO Committee or alternate.

4.12 Matters that require ratification by all Faculty Service Officer members, such as changes to the Collective Agreement, must first be brought to Council for approval prior to seeking a ratification vote by Faculty Service Officer members.

**Article 5: Amendment of Terms of Reference**

5.1 Amendments to the Terms of Reference of the FSO Committee must be approved initially by a two-thirds (2/3) majority of Committee members who vote at a duly called meeting.

5.2 To take effect, amendments must subsequently be approved by a majority at AASUA Council.
Appendix 1.2.4: Contract Academic Staff: Teaching Committee
(Approved by AASUA Council on 22 October, 2009)

Article 1: Purpose

The Contract Academic Staff: Teaching Committee ("CAS:T Committee") is a Constituency Committee of the AASUA. The goals of CAS:T Committee are to:

1.1 Advance and protect the individual and collective interests of all CAS:T at the University of Alberta.

1.2 Provide an effective channel of communication for matters of interest and concern to CAS:T, and promote CAS:T information exchange and networking.

1.3 Promote a fully effective role for CAS:T in contributing to the University’s success, and where appropriate, seek the identification and removal of impediments to such a role.

1.4 Promote and advise upon an efficient and effective overall University administrative infrastructure that allows the University of Alberta to fulfill its mission and vision in a timely and cost-effective manner.

1.5 Work with other members of the Association of Academic Staff to protect independence of thought and freedom of teaching and research.

1.6 Oversee the election of CAS:T members to AASUA council and GFC.

Article 2: Representation and Participation

2.1 Individuals whom the CAS:T Committee represents, and who are eligible to vote and participate in the CAS:T Committee’s elections, annual general meeting, and special events, include:

a) All staff covered by the University of Alberta Contract Academic Staff: Teaching Agreement ("CAS:T Agreement").

Article 3: Definition of Membership

3.1 All voting members serving on the CAS:T Committee shall be drawn from those academic staff members covered by CAS:T Agreement.

3.2 The VOTING membership of the CAS:T Committee shall consist of the following:
3.2.1 The CAS:T members of AASUA Council, normally elected by the end of October in Fall/Winter Term. Councilors serve a three year term, so those offering to run should have a reasonable expectation of being able to serve for that length of time.

3.2.2 Executive members:

3.2.1.1 The Chair, who is elected annually at a CAS:T meeting in April, from among the serving committee members. The CAS:T Committee Chair is a Director of AASUA, and member of the AASUA Executive Committee.

3.2.1.2 The Vice-Chair, who is elected annually at a CAS:T meeting in April; and

3.2.1.3 The immediate Past Chair (if available).

3.2.1.4 At a minimum, Executive officers will normally hold an eight-month appointment over the Fall/Winter Term in which they hold office.

3.2.2 CAS:T members who are serving on AASUA Committees.

3.2.3 The councilors who are not Executive officers of the CAS:T committee will be the Members-at-Large of the CAS:T committee. It is the goal of the CAS:T Committee to have a broad spectrum of CAS:T members who represent a wide variety of units from across the university. Ordinarily no more than two Committee members will be from the same Department at any one time.

3.2.4 Two councilors will be named in April as the CAS:T representatives to GFC for the upcoming Fall/Winter term.

NOTE: The AASUA President is an ex officio member of all AASUA committees (AASUA Bylaws §8.1.2). The AASUA Executive Director (or delegate) attends all meetings of the Association (Bylaws §8.5.4.1).

Article 4: CAS:T Committee Chair

4.1 The Chair of the CAS:T Committee shall:

a) Represent and communicate CAS:T Committee concerns at meetings of the AASUA Council;

b) Submit an oral report at all meetings of the CAS:T Committee and a formal, written report to all CAS:T at the CAS:T Annual General Meeting;

c) Call (and normally chair) CAS:T Committee, CAS:T Committee Executive, and CAS:T Annual General Meetings;
d) Take overall responsibility for the effective operation of the CAS:T Committee.

e) The Chair or designate of the CAS:T committee shall report to AASUA Executive and Council.

Article 5: CAS:T Committee Executive

5.1 The Executive of the CAS:T Committee shall consist of the Chair, the Vice-Chair, and the Immediate Past Chair.

5.2 Should it be required in the absence of scheduled meetings, or due to the inability to meet quorum requirements during the summer, the CAS:T Committee Executive shall act on behalf of the entire Committee during the months of June, July, and August. Under these circumstances, decisions will involve appropriate consultation with those committee members who are available at the time, and other CAS:T who may be affected by any decisions of the Executive.

5.3 Beyond the direct input of the CAS:T Committee members, the Executive will ensure that regular communication with all CAS:T is maintained, particularly with those CAS:T members who sit on other, university-wide committees.

Article 6: CAS:T Committee: Meetings

6.1 A minimum of 2 meetings of the CAS:T Committee will be held during the year.

6.2 Any additional meetings can be called by the Chair.

6.3 Individuals who are not CAS:T Committee members may be invited to attend by the Chair.

6.4 The quorum for all CAS:T Committee meetings shall be 5 voting members.

Article 7: CAS:T Annual General Meetings

7.1 Purpose: A general meeting of CAS:T members shall be held in October every year:

a) For the election or appointment to fill any AASUA Council positions for CAS:T;

b) To provide a forum for an annual reporting of the CAS:T Committee’s activities;

c) For discussion and transaction of business related to Committee governance and terms of reference; and

d) For discussion and transaction of other business as may be deemed appropriate.
Other general meetings can be called when circumstances or issues make such meetings necessary or advisable. These meetings can be called by the Chair or else by a petition signed by at least 10 members.

7.2 CAS:T Annual General Meeting Organization and Proceedings:

7.2.1 The CAS:T AGM shall normally be called and chaired by the Chair of the CAS:T Committee, and shall be announced not less than three weeks in advance.

7.2.2 The CAS:T AGM shall normally be held in October each year.

7.2.3 The CAS:T AGM members present shall determine if there is sufficient representation of CAS:T to reasonably proceed with AGM.

7.2.4 If it is determined that there is not sufficient representation, the AGM will be adjourned and an alternative AGM meeting will be held in one week.

7.2.4.1 The quorum of members for second meeting shall be the members present.

7.2.5 Meetings may be attended by individuals who are not CAS:T or CAS:T Committee Members, when invited by the Chair; such guests do not vote.

7.2.6 The agenda shall be set by the Chair and approved at the Annual General Meeting.

7.2.7 Motions must be included on the agenda if provided in writing to the CAS:T Committee Chair not less than 10 days in advance of the AGM, with the written support of 5 CAS:T members.

7.2.8 All CAS:T in attendance at the CAS:T AGM are entitled to vote. Voting shall normally be conducted by a show of hands.

Article 8: Amendments to Terms of Reference

8.1 The CAS:T Committee’s Terms of Reference may be amended through a motion passed by a 2/3 majority of CAS:T voting at a CAS:T General Meeting for which Notice of Motion has been given, or voting in a mail-out ballot coordinated by the CAS:T Committee.

8.2 Motions to amend the terms of reference may not be made at the CAS:T Annual General Meeting unless the motion was on the agenda at least 10 days prior to the meeting.

8.3 Terms of reference, or amendments to terms of reference, of all AASUA Committees must be approved by AASUA Council in a simple majority vote (Bylaws §5.2).
Appendix 1.2.5: Trust Academic Staff Committee  
(Approved by AASUA Council 17 June, 2010)

Article 1 - Mandate

The University of Alberta Trust Research Academic Staff Committee (“TRAS Committee”) is a Constituency Committee of the AASUA. The TRAS Committee represents the interests of the Trust Research Academic Staff (TRAS) of the University of Alberta. The goals of the TRAS Committee are to:

1.1 Advance and protect the individual and collective interests of all TRAS.
1.2 Provide an effective means of communication for matters of interest and concern to TRAS.
1.3 Build a collegial community that promotes information exchange and networking among TRAS.
1.4 Provide a forum for discussion regarding issues that directly or indirectly affect the TRAS and to bring forward any concerns to AASUA.
1.5 Promote a fully effective role for TRAS in contributing to the University’s success, and where appropriate, seek to identify and remove impediments to such a role.
1.6 Work with other members of the Association of Academic Staff to protect independence of thought and freedom of teaching and research.

Article 2 – Membership

2.1 All Trust Research Academic Staff are voting members of the TRAS Committee. At least two (2) trust academic staff members will be elected from the membership at large to represent them on AASUA Council.

2.2 The term of office for each AASUA Council member is three years, commencing July 1st.

2.3 One (1) trust academic staff member will be selected from the elected Council members to represent them on AASUA Executive. The name of this individual will be presented to the AASUA Nominating Committee for approval by Council as part of the AASUA elections process.

2.4 The term of office for each Executive member is 3 years, commencing July 1st.

2.5 The TRAS Committee shall:
   a) Represent and communicate TRAS concerns at meetings of the AASUA Executive and AASUA Council
   b) Take overall responsibility for the effective operation of this Committee.

2.6 TRAS has representation on the following bodies:
a) AASUA Council – Number determined by AASUA Policies and Procedures
b) AASUA Executive – One representative elected from the Council members

Article 3 – Meetings

3.1 A minimum of 2 meetings of the TRAS Committee will be held during the September to April period.

3.2 Any additional meetings will be held at the call of any of the Committee Members.

3.3 Resolutions are adopted by a simple majority of members who attend and vote at a meeting.

Article 4 - Attendance

4.1 There shall be no alternates for any member at the TRAS Committee meetings. If an elected member is absent for three consecutive meetings or is frequently absent without a reason satisfactory to the remaining members of the Committee, the Committee shall declare the position vacant.

Article 5 - Quorum

5.1 The quorum for all TRAS Committee meetings shall be 3 VOTING members.

Article 6 - Amendment of Terms of Reference

6.1 Amendments to the Terms of Reference by the TRAS Committee must be approved by the quorum set for TRAS Committee members who vote.

6.2 To take effect, amendments must subsequently be approved by a majority at the AASUA Council.
Appendix 2: Documents Referring to External Representation of AASUA

Appendix 2.1: Board of Governors AASUA Representative

Roles and Responsibilities
(adopted by Council 2005.01.17)

The provincial Post-secondary Learning Act (2004) created the position on the Board of Governors for a representative from the academic staff associations at Alberta’s public universities. This document approved by the AASUA Executive Committee and Council on 2005.01.17 and sets out the role and responsibilities of the Association’s representative.

- The representative shall be an ex officio member of the Executive Committee and Council. He or she shall attend meetings of Executive Committee and Council.

- The representative shall report to the Executive Committee and Council on the deliberations of the Board of Governors. The representative shall identify issues arising from the Board meetings that affect the Association and make recommendations on these matters as required.

- The Executive Committee and Council shall give the representative advice and direction so that his or her contributions to the Board’s deliberations accurately reflect the views and concerns of the Association and membership.

- The representative shall incorporate these views and concerns in his or her reports to the Board.

- The Executive Committee and Council acknowledge that the representative requires reasonable latitude when speaking for them at Board meetings. The representative is expected to exercise discretion and judgment and whenever possible consult with the President and members of the Executive Committee before addressing Association issues at Board meetings. To that end the Executive and the representative must be in close communication on matters of concern to the Association.

- The representative serves on the same basis as all other appointees to the Board and is bound by Board decisions on confidentiality and such other rules and procedures as the Board may adopt from time to time. The representative is not precluded from participating in deliberations and voting on matters related to the collective agreement. In that case the representative is expected to be measured and considered in his or her submissions and not to take an obviously partisan position in support of the Association’s interests.
Selection process for the Association’s Nominee to the Board of Governors
(Approved by Executive 2004.01.16; by Council 2004.02.23)

1. The AASUA Nominee shall be elected by Council;

2. The election is governed by the same procedures governing the election of Officers, with the additional provision that the Nominating Committee request the advice of the Officers and Executive before publishing a nomination; (these procedures are set out in §10.4 of the Bylaws);

3. Wherever possible, and as appropriate, the election shall be held coincidentally with the election of Officers for that year;

4. The term of office shall be for two years;

5. If a vacancy occurs during the course of the year, Council may nominate a person to serve for the rest of the year;

6. The AASUA Nominee serve ex officio as a non-voting member of the Executive and Council, in which capacity the nominee will give regular reports to those bodies on Board activities and receive concerns for communication to the Board.

Post-secondary Learning Act, proclaimed 2004
Provisions regarding the Association’s representative on the Board of Governors.

Board of Governors
16(3) A board shall consist of the following members:

    (d) the following members appointed by the Minister:

        (iii) 2 members of the academic staff of the university, one of whom is nominated by the general faculties council and one of whom is nominated by the academic staff association;

Membership of Board: Eligibility
54 A person who is an employee of the board of a public post-secondary institution may not be appointed or remain a member of the board if the person

    (a) is a voting member of the executive body or an officer of an academic or non-academic staff association of that public post-secondary institution, or

    (b) has the responsibility, or the joint responsibility with others, of negotiating with the board, on behalf of the academic or non-academic staff associations of that public post-secondary institution, the terms and conditions of service of members of the association.
Appendix 2.2: Academic Benefits Management Committee

Excerpt from the Memorandum of Settlement Between the AAS:UA and the Board of Governors, July 1, 2002 to June 30, 2005.

Academic Benefits Review Taskforce

7. Integral to the salary settlement contained within this Memorandum, the parties will establish a joint Academic Benefits Review Taskforce as described in Appendix A.

Appendix A
to
MEMORANDUM OF SETTLEMENT
Between AAS:UA and University

TERMS OF REFERENCE
Academic Benefits Review Task Force

Terms of Reference

1. The Administration and the AAS:UA each acknowledge:
   • a joint responsibility to contain the rate of increase in benefit costs and a need to reform the benefits program to better reflect and meet the needs of members;
   • and accept a joint responsibility to bring the increase in benefit costs under control which is integral to the salary settlement outlined in the Memorandum of Agreement to which these Terms of Reference are attached.

2. To achieve these goals the University hereby creates a committee to be known as the Academic Benefits Review Task Force (Task Force).

3. The membership of the Task Force will consist of not more than three individuals appointed by the Administration and not more than three individuals appointed by the AAS:UA.

4. If the services of benefit consultants are required (other than consultants currently engaged to review specific aspects of the Plans), the parties will share the professional expenses equally.

5. The Task Force will present a report to the Administration and the AAS:UA.

6. The Administration will undertake to make full and timely disclosure with respect to the administrative costs charged against the benefit plans as part of the Task Force activities.

7. The Task Force report will:
Appendix 2

a. Determine the appropriate criteria to contain benefit cost escalation;
b. Make recommendations to manage the increasing costs of the benefits program;
c. Ensure that in no case will the provision or cost of catastrophic or core benefit programs such as the dental plan, supplementary health care and long term disability, be amended to eliminate reasonable and necessary coverage;
d. Review all statutory and non-statutory benefits, including the UAPP, to determine their affordability, cost effectiveness and less costly alternatives and make recommendations to gain efficiencies;
e. Make recommendations for reform to the benefits program while limiting the increase in the costs on a per capita basis to be in accord with an appropriate measure (example, Consumer Price Index, scale increase, etc.); and
f. Provide a comprehensive set of recommendations consistent with the criteria for controlling cost increases.

Excerpt from the Memorandum of Settlement Between the AAS:UA and the Board of Governors, July 1, 2005 to June 30, 2008

Academic Benefits Management Committee

5.1 The parties agree to continue the relationship of joint benefits management under the auspices of the Academic Benefits Management Committee (ABMC).

5.2 The parties agree to increase the funding for academic benefits by the appropriate per capita amount annually over the three-year term of this Memorandum. The ABMC will determine the per capita amount per eligible plan member through the application of the approved scale adjustments.

Appendix 2.3: Security Advisory Committee

A representative of AASUA is nominated by the Association for appointment to the University’s Security Advisory Committee for a three-year term by the Vice President (Finance and Administration).

The committee meets quarterly.

Its stated purpose is:
1. Reporting to the Vice President (Finance and Administration), the committee will make recommendations with respect to matters of security policy.
2. To provide a forum for the review and formulation of security policy.
3. To provide representation from a broad cross section of the University community affected by and responsible for matters of security.
4. To ensure that security policy is on conformity with the law.
5. To ensure the consistent application of security policy on campus.
Appendix 2.4: UAPP Representation

2.4.1 UAPP Sponsors

The UAPP Sponsors are the Employers and Academic Staff Associations party to the UAPP Sponsorship and Trust Agreement (§1.1(f)).

Article 2.7 of the Sponsorship and Trust Agreement states:

2.7 In order to provide a forum for on-going consideration of the operation, performance, design, possible amendment and all other aspects of the Plan:
(a) There shall be a meeting at least once in every calendar year of senior representatives of the Sponsors. Each Employer shall be represented at these meetings by its chief financial officer (or other designate specified by the Employer in question). Each Academic Staff Association shall be represented at these meetings by its president (or other designate specified by the Academic Staff Association in question). In addition to these representatives, each Sponsor may have a reasonable number of observers at these meetings, and all Trustees may attend as observers.

Thus, the President of the Association normally attends meetings of the Sponsors.

2.4.2 UAPP Board of Trustees

Article 3.6 of the Sponsorship and Trust Agreement states:

3.6 The Board of Trustees consists of...
(b) one person appointed by each of the Association of Academic Staff: University of Alberta, The University of Calgary Faculty Association, The University of Lethbridge Faculty Association, and Athabasca University Faculty Association.
(Amended effective July 1, 2006)

3.8 The Trustees appointed under paragraph 3.6 shall serve for a term of four years each.
(Amended effective July 1, 2006)

Thus, one member of the Association is appointed to the Board of Trustees for a four year term.
2.4.3 UAPP Sponsors’ Working Group Terms of Reference (5 April, 2004)

Mission Statement

The Universities Academic Pension Plan Sponsors’ Working Group (UAPP-SWG) has been established:
• to develop and recommend strategic goals, plan priorities and specific actions, and foster communication among sponsors and between sponsors and trustees on pension issues
• in order to assist the sponsors in making appropriate, effective pension decisions and in jointly exercising influence in areas that affect the UAPP.

Vision

The Sponsors’ Working Group’s Vision for the UAPP:

The UAPP provides for a retirement income for plan members, through a jointly sponsored plan that balances the following characteristics:
• Consistent with sponsors’ and plan members’ expectations and contributions
• Stability and predictability of contribution rates
• Competitive and cost-effective
• Attractive
• Supports recruitment and retention
• Equity among plan members
• Accommodates flexibility in plan members’ choices and values
• Ethical
• Predictability of income

This statement only captures beliefs about the plan design and does not include our ideas about governance of the plan.

Values

The Sponsors’ Working Group is committed to high ethical standards in its work, and is guided by the following values:

• Adaptability
• Prudence
• Even-handedness
• Co-operation
• Competence
• Accountability
• Committed to high ethical standards
• Transparency
• Plan member focused
• Representative of separate groups
Goals

The following are the Sponsors’ Working Group’s Goals for the UAPP:

1. The Sponsors’ Working Group designs and proposes a plan that meets our vision, by:
   1.1. Protecting members against undue risk
   1.2. Reflecting stakeholder preferences and interests
   1.3. Ensuring that the plan is efficient from a tax perspective, from both institution and member perspective
   1.4. Working with trustees reviewing the UAPP and proposing any changes
   1.5. Reviewing sponsorship

2. The Sponsors’ Working Group identifies, informs, seeks feedback from and proposes action on issues to sponsors, by:
   2.1. Maintaining an ongoing program of sponsor awareness and soliciting feedback from the sponsors
   2.2. Helping to connect all the UAPP “players” – Sponsors, Board of Trustees, employer administrators, members
   2.3. Facilitating regular and thorough communication among Sponsors’ Working Group sponsors and trustees
   2.4. Working with trustees and Alberta Finance regarding public policy that impacts UAPP
   2.5. Determining the priorities of approved ideas
   2.6. Developing ideas for recommendation to sponsors
   2.7. Taking action on approved ideas from sponsors

3. The Sponsors’ Working Group works with the trustees to encourage transparency and accountability to sponsors and plan members, by:
   3.1. Monitoring the activities of the trustees to ensure sound and balanced governance is maintained; and consistently addressing governance issues as they arise
   3.2. Exercising due diligence in monitoring the activities of the trustees
   3.3. Assessing if the goals of the plan are being met and are for the benefit of the plan members
   3.4. Providing input on investing strategies and asset mix
   3.5. Undertaking a formal liaison process with the board of trustees

4. The Sponsors’ Working Group commits to being well informed about issues that affect the pension, by:
   4.1. Understanding the differences at each institution (employer) and then working cohesively for the betterment of UAPP
   4.2. Identifying issues, creating informed consensus and facilitating action through the sponsors
   4.3. Maintaining an ongoing information exchange on both upcoming and ongoing UAPP issues
   4.4. Reporting to trustees on emerging issues
   4.5. Assessing changes to legislation that affects plan
4.6. Identifying future opportunities and challenges

5. The Sponsors’ Working Group coordinates communication on issues related to plan design and Sponsorship and Trust Agreement, by:
   5.1. Regular formal and informal communication with plan members in order to encourage members to use the Sponsors’ Working Group as their voice or platform for pension issues; seek input on their expectation; increase their appreciation of the plan
   5.2. Instituting workshops or other formal means to inform members about the pension
   5.3. Working towards shared communication to members by all sponsors

6. The Sponsors’ Working Group operates in a way that supports the achievement of its mission, by:
   6.1. Establishing and regularly reviewing goals
   6.2. Monitoring our own progress toward goals and taking corrective action when necessary
   6.3. Working to achieve a unified voice for sponsors
   6.4. Exercising due diligence

2.4.4 UAPP Sponsors’ Working Group Defined in Sponsors’ Operating Agreement (5 April, 2004)

A. History of the transition process and need for Sponsor Working Group

On December 31, 2000, the Universities Academic Pension Plan ceased to be a statutory plan governed by the Public Sector Pension Plans Act (Alberta), and on January 1, 2001, it was continued as a pension plan registered under the Employment Pensions Act (Alberta). The Sponsors’ Transition Committee worked co-operatively to effect the transition to a non-statutory plan through the time of transition. The Sponsors now agree to establish a Sponsor Working Group to assist the Sponsors in performing their functions under the Sponsorship and Trust Agreement.

The roles and responsibilities of the Sponsors [are] set out in the Sponsorship and Trust Agreement.

B. Sponsor Working Group

1. In order to ensure that the Sponsors have the information and recommendations they need to make the decisions relating to the roles and responsibilities set out in the Sponsorship and Trust Agreement, the Sponsors agree to create a Sponsor Working Group which shall operate in accordance with the terms and procedures set out in this part.
Responsibilities of Sponsor Working Group

2. (1) The sponsor Working Group is responsible for securing information about matters within the Sponsors’ authority under the Sponsorship and Trust Agreement, evaluating that information, and making recommendations about those matters to the Sponsors.

(2) The Sponsor Working Group does not have the authority to make the specific decisions that are designated as under Sponsor authority in the Sponsorship and Trust Agreement. Each Sponsor, operating consistently with its own decision-making procedure, must make that Sponsor’s decision on those specified matters.

3. The Sponsor Working Group is responsible for planning meetings of the Sponsors under Article 2.7 in the Sponsorship and Trust Agreement.

Composition and Responsibilities

4. Each sponsor shall appoint a Representative and, when necessary, an alternate, to the Sponsor Working Group. Neither the Representative nor the alternate may be a UAPP Trustee.

5. Each Sponsor Representative or alternate shall be responsible for

   (i) attending meetings of the Sponsor Working Group (each representative may be accompanied by a resource person or persons who may speak but not vote),

   (ii) receiving information relating to the Sponsors’ role and participating in discussions on issues relating to the Sponsors’ role,

   (iii) voting in relation to matters that are within the responsibility of the Sponsor Working Group, and

   (iv) providing information and advice to the Sponsor relating to the Sponsor’s role under the Sponsorship and Trust Agreement.

Officers and Responsibilities

6. The Sponsor Working Group shall elect a chair and vice-chair from the Sponsor Representatives for a 2-year term. In the event that the office of chair or vice-chair becomes vacant prior to the end of the prescribed term, the Sponsor Working group shall elect a replacement for the remainder for the unexpired term, such replacement to come from the same category of Sponsors as the person replaced.

7. The offices of chair and vice-chair are to rotate every 2 years between an Employer Sponsor Representative on the one hand and an Employee Sponsor Representative on the other.
8. The vice-chair shall act as chair when the chair is absent or unable to act; if both chair and vice-chair are unable to act, the Sponsor Working Group shall elect another Sponsor Representative to perform the necessary duties.

9. The Sponsor Working Group shall appoint a secretary who has the responsibility to prepare minutes of the meeting of [the Sponsor] Working Group. This person need not be a Sponsor Representative. The Secretary shall send the minutes, once approved by the Sponsor Working Group, to the Trustees, Chief Financial Officers of Employer Institutions, Presidents of Academic Staff Association and any resource people identified by the Sponsor Representative.

10. The Chair has responsibility to call meetings and set agendas. If three Sponsor Representatives request a meeting, the Chair must call one. The Chair shall send out notice of the meeting with a draft agenda at least 10 working days in advance of the meeting. Any sponsor Representative may add an item to the agenda. The Sponsor Working Group shall vote on the agenda at the beginning of the meeting.

**Procedures and Voting**

11. The Sponsor Working Group may conduct business by email, and an email vote shall be considered valid as long as, to the extent possible, all Sponsor Representatives have been included in the discussion. Where feasible, a week of discussion shall be allowed before any Sponsor Representative vote is accepted. Where the Sponsor Working Group agrees, it may also hold meetings by video- or audio-conferencing.

12. Decisions of the Sponsor Working group shall be made by a vote. Each Sponsor Representative, including the Chair, has one vote. A motion shall be considered passed only if at least three employer Sponsor Representatives plus at least three Academic Staff Association Sponsor Representatives vote in favor.

13. Where the Sponsor Working Group or the Sponsors have not prescribed other rules, the Sponsor Working Group shall operate in accordance with *Bourinot’s Rules of Order* (most recent edition).

14. The Sponsor Working Group shall normally invite the Chair of the Board of Trustees and the Executive Director of the UAPP to it meetings and to be included in an email vote discussion. However, the Sponsor Working Group retains the discretion to invite anyone to, and to exclude anyone other that Sponsor Representatives and their resource persons from, a meeting or any part of a meeting.

15. The Sponsor Working Group may, it its sole discretion, make further policies and rules to assist it to perform its functions.
Funding

16. The Sponsor Working group shall submit an annual budget to the Sponsors for their approval, and shall provide them with a financial statement at the end of the budget year.

Operations

17. Within its budget, the Sponsor Working Group may employ people, contract experts or other people for specific functions, and set up committees at its own discretion.

18. The Sponsor Working Group may create or arrange for a Secretariat that is responsible for collecting and distributing information for the Sponsors, for providing an archive of information relating to the UAPP, and for providing such other services as the Sponsor Working Group requests.

C. Cost-Sharing Agreement

19. The Sponsors agree that each Sponsor will pay a share of the budget approved under Article 16 in advance and in proportion to the number of contributing members in the plan at each Employer Institution or within each Academic Staff Association Sponsor, calculated once per year. Where there is no Academic Staff Association Sponsor, or where there are contributing members who are not represented by any Academic Staff Association Sponsor, the Employer Institution agrees to pay twice the share in relation to those members.

This Agreement has been executed in counterpart by the properly authorized officers of the Parties to the Agreement.

5/5/04
Appendix 3: Documents Referring to the Association’s Obligations to its Members

Appendix 3.1: Membership Representation

Preamble

A primary responsibility of the Association is the representation of the interests of the members of the academic staff in disputes relating to the collective agreements (Post-secondary Learning Act 2003 §85(3)). A summary of the activity in this regard is set out below. Individual members have a personal responsibility in all cases, but they are entitled to seek advice and assistance from the officers and staff of the Association. The assistance may extend to advocacy and, from time to time, to acting as agent on behalf of staff members.

The role of the Association is governed by the duty of fair representation. The duty of fair representation may be defined as the responsibility to act in a manner that is neither arbitrary, discriminatory, nor in bad faith. Representation shall not be capricious or superficial, and shall be based on full investigation. The member shall be kept informed of actions and reasons for actions.

The scope of the representation includes, but is not limited to, representations before:

- Chairs, Deans and other administrative officials;
- Vice Presidents, especially with regard to Agreement-related matters involving questions about the assignment and performance of responsibilities, supplementary professional activity, sabbatical and other leaves, vacations, charges of unacceptable academic performance, and discipline matters;
- Supervisors, FECs or equivalent, and GACs on matters of performance evaluation;
- Investigating authorities in allegations leading potentially to discipline; and
- Arbitration tribunals.

A. Assistance to Members

A1 In seeking assistance, members are encouraged to approach one of the Membership Services Officers.

A1.1 Matters involving the performance of duties and evaluation will normally be dealt with by a Membership Services Officer.

A1.2 Matters involving questions of discipline, grievance, or other actions potentially
leading to arbitration will normally be dealt with by a Membership Services Officer, who shall consult with the President through the Members’ Advisory Committee (MAC).

A1.3 All cases will be handled with complete confidentiality and matters are disclosed only as necessary for representation in a complaint resolution process or for seeking legal advice.

A2 When a request for assistance from a member is received:

A2.1 The Membership Services Officer shall review the request and deal with it as appropriate.

A3 External legal counsel may be consulted by the Association.

A4 The MAC shall have the sole authority to decide whether a grievance shall be submitted. The MAC may solicit the advice of counsel respecting a potential grievance before making a decision. The final decision to advance a grievance to arbitration shall be approved by the Executive Committee, who shall receive regular progress reports on the course and costs of the arbitration.

A5 Where the member’s complaint relates to a matter governed by the Agreements, the following rules apply:

A5.1 In cases where the Association has the right to appeal (e.g., cases arising under Article 16 of the Faculty Agreement (Discipline)) and so decides, all expenditures will be at the discretion of the Association.

A5.2 In cases where the member personally has the right to appeal (e.g., cases arising under Article 14 of the Faculty Agreement (Termination)) and so decides, the Association does not have standing to initiate the process. Therefore, the Association will not provide financial and/or legal assistance to the member in the appeal, except in the following case:

A5.2.1 Where the Association determines that the appeal will set a precedent or concerns a principle of broad importance to the AASUA and its members, the Executive Committee has the sole discretion to approve legal assistance for and on behalf of the member. Such cases will first be identified by MAC, and the decision will be recommended to the Executive Committee. The decision of the Executive Committee is final and binding.
B. The Use of External Legal Counsel

**General Authority**

B1 The President or the Executive Director shall have authority to submit questions to the Association’s Solicitor or other legal counsel appropriate to the circumstances, where such questions arise in the routine conduct of Association affairs.

**Judicial Proceedings**

B2 The Executive Committee shall have the authority to decide on legal cases in which the Association is named as a defendant. The Council shall approve all legal actions in which the Association takes the initiative or seeks intervener status.

**Legal Counsel Privately Retained**

B3 The Association will not provide financial support for legal counsel privately retained.

B3.1 The Association has the sole right to grieve on behalf of members, and the exclusive right to be a signatory on behalf of the member on any settlements or agreements negotiated with the University.

B3.2 The Association will continue to represent a member who has consulted with external counsel. The Association may choose to cooperate with external legal counsel retained by the member, subject to recovery of reasonable costs incurred in that cooperation.

B4 Costs of legal proceedings incurred by a member in litigation involving the University will not be supported by the Association.

*Council 1983.06.14, revised 1997.01.14, revised 2002.02.28, revised 2009.04.16*

C. Representation Decisions and Appeal Policy

C1 The AASUA recognizes its duty of fair representation and undertakes to represent its members fairly, in good faith, and without discrimination. There will be situations when the AASUA must, for specific reasons, make the decision not to represent a member on a particular matter, or to cease to represent a member in a particular matter.

C1.1 The AASUA may make the decision not to represent a member in a particular matter or to cease to represent a member in a particular matter in any of the following circumstances:

- The matter which the member is bringing forward is not within the ambit of the collective agreement, or the matter is not one that would be arbitrable;
Appendix 3

- A grievance on the matter lacks merit and is not likely to succeed at arbitration;
- The member has acted in an abusive manner toward their AASUA representative or toward AASUA staff;
- The member refuses to follow reasonable advice given by their AASUA representative;
- The member refuses to accept a settlement agreement or an accommodation plan which is judged to be, taking into account all the circumstances of the case, reasonable and acceptable by the AASUA; or
- Other reasons deemed sufficient by the President of AASUA.

The Preliminary Decision

C2 Preliminary decisions regarding the decision not to represent a particular matter or cessation of representation on a particular matter will normally be made by AASUA staff (i.e., the Membership Services Officer) in consultation with the AASUA President and/or the Executive Director.

C3 Should a preliminary decision be made not to represent or to discontinue representation of a member on a particular matter, the matter will be forwarded to the Members’ Advisory Committee (MAC) for their consideration.

C4 After reviewing the written or oral recommendation of AASUA staff, the MAC will make one of the following decisions:

   a) Agree with the preliminary decision not to represent or to discontinue representation.
   b) Disagree with the preliminary decision, in which case representation of the member will proceed.

C5 The Chair of the MAC shall provide the member with a written record of the decision. If the MAC agrees with the preliminary decision, the letter will also include instructions for appealing the decision.

Appeal of the Preliminary Decision

C6 When the MAC agrees with the preliminary decision, the member will have the right of appeal to a sub-committee of the Executive Committee (Appeal Committee).

C7 Should a member wish to appeal the decision of the MAC, they must notify the AASUA President, in writing, within 10 working days of the date of the letter from the MAC Chair.

C8 The Appeal Committee shall be made up of three members of the Executive Committee who have not been involved in the member’s representation up to that point, and who do not have another conflict (e.g., work in the same department as the member, related to the member).
The Appeal Committee members will be selected by the President at his/her sole discretion. The Appeal Committee will choose a chair from amongst its three members.

The Appeal Committee will conduct a hearing where they will hear from the member and/or the member’s representative, and from the Chair of the MAC and/or designate (e.g., the AASUA staff member).

The hearing will be scheduled as soon as possible following the MAC’s decision. Reasonable notice will be given to the parties.

The member may bring a representative to the hearing. Any costs incurred for representation will be the responsibility of the member.

Hearing participants may provide the Chair of the Appeal Committee with written submissions. In order to be considered, these submissions must be provided to the Chair at least 2 working days prior to the hearing.

The Appeal Committee is not bound by rules of evidence or procedures applicable to courts of law. The Chair shall make procedural rulings including rulings on extensions of time limits.

The hearing format shall be as follows:

a) AASUA presentation: maximum 30 minutes
b) Member’s presentation: maximum 30 minutes
c) AASUA rebuttal: maximum 10 minutes
d) Member’s rebuttal: maximum 10 minutes
e) Questions from the Appeal Committee.

The Appeal Committee may provide an oral decision at the conclusion of a deliberation period following the hearing. The Appeal Committee will provide brief written reasons to the member and the Chair of the MAC within 5 working days of the hearing.

The decision of the Appeal Committee is final and binding.

The Appeal Committee shall report the outcome of the hearing to the AASUA Executive.

The President will report annually to Council on appeals heard. This report will be in conjunction with MAC’s annual report to Council.

Council, 28 February 2002
Appendix 3.2: AASUA External Legal Expenditures Policy

The AASUA Members’ Advisory Committee (MAC) will make decisions and recommendations to the Executive Committee regarding external legal expenditures based on the expenditure guidelines approved by the Executive Committee.

The Executive Committee must rely on recommendations from the MAC with regard to legal expenditures for two reasons:

1. The Membership Representation and Appeals Policies require that, should it be decided not to represent a member on a particular matter, the member has the right to appeal to the Executive Committee. If the Executive Committee is directly involved in all these decisions, then there will be no one left to constitute an appeal panel.

2. Confidentiality: The members of MAC have signed confidentiality agreements and are familiar with dealing with confidential member information. Details of cases should be disseminated to the fewest number of people possible.

A standard form retainer letter will be used when referring matters to outside legal counsel which will make it clear that the AASUA must be notified when charges will exceed certain levels so that the appropriate approvals can be sought.

Expenditure Guidelines:

1. **General legal opinions**: An amount of $15,000 per year, within the legal expenses budget, is allocated for general legal opinions (not exclusively related to specific cases). Authority for such expenditures up to a total of $15,000 rests with the Executive Director. Cumulative expenditures greater than $15,000 shall be approved in advance by the Executive Committee.

2. **Outside legal counsel related to specific cases**:
   
   i. Up to $15,000: Authority for outside legal expenditures up to $15,000 rests with the Executive Director, or delegated to the Senior Membership Services Officer.

   ii. Greater than $15,000: Expenditures of greater than $15,000 shall be approved by the MAC and are reported to the Executive Committee by the Chair of the MAC.

   iii. The Chair of the MAC reports the balance of the legal budget to the Executive Committee at each Executive Committee meeting.

3. **Reporting**: At each of its meetings, MAC will be provided with a report on legal expenditures to date as compared to the annual budget for legal expenditures. This report will also be provided to the Executive Committee at each Executive meeting. Any recommendations made under rule 3 above will include budgetary information, including
whether legal reserve funds will need to be accessed.

4. **Ongoing matters**: AASUA office procedures will be developed to closely track ongoing expenditures by file name. When the amounts referred to in 1–3 above are going to be exceeded, the appropriate approval will be sought.

*Procedural matters:*

When taking a recommendation to the Executive Committee that a matter proceed to arbitration where external legal counsel will be used, two motions are necessary:

1. The Executive Committee must first approve a motion from the Chair of MAC “To authorize the matter to proceed to arbitration.” Should this motion pass, a further motion may be necessary:

2. The Executive Committee must approve legal expenses >$15,000 pursuant to the External Legal Expenditures Policy “To authorize external legal expenditures for the matter proceeding to arbitration up to $x.”

If the legal expenses reach the dollar amount specified by the Executive Committee prior to the completion of the matter, the Executive Committee will be asked to approve further external legal expenditures.

*What does the policy mean for MAC?*

1. MAC must be provided with regular updates on costs of external legal expenses on individual files.

2. MAC must give its approval for external legal expenses greater than $5,000 but not more than $15,000.

3. The Chair of MAC must provide the Executive Committee with regular reports of legal expenditures to date as compared to the yearly budget for external legal expenses.
Appendix 4: Financial Documents

Appendix 4.1: Members’ Emergency Fund

Policy

The Executive and Council hereby establish a Faculty Association Member’s Emergency Fund. The purpose of the fund is to assist members of the academic staff who experience catastrophic loss or medical emergencies for which there is no alternate or inadequate insurance or other sources of financial assistance.

Administration of the Fund

1. Article 3.03 of the Collective Agreement provides that members may direct their Association dues to a university related charitable cause selected from time to time by the Executive of the Association and the Provost and Vice President Academic. The fund shall be financed from those dues and other such matching funds as may be donated by members or the Administration.

2. Expenditures shall be permitted up to $1000 per member per year, to a total maximum expenditure of $5000. The Treasurer shall make an annual report to the Executive and Council on expenditures from the fund.

3. Emergency allocations shall be authorized by the Association President and the Provost in the event the administration contributes to the fund. The President shall consult with the Executive Committee before approving an emergency allocation.

4. Emergency allocations will not normally be made as cash disbursements. The Association shall purchase gift certificates or pay suppliers direct.

5. Emergency allocations are not loans. However, should a recipient of an emergency allocation wish to make repayment in part or in full, such repayments shall be credited to the fund.

6. The availability of assistance from the Fund shall be advertised once annually in the Association Newsletter.

Approved: Executive Committee, 1998.09.28
Appendix 5: Historical Documents

Appendix 5.1: AASUA History

Summary of History

1939 First recorded meeting of the Faculty Relations Committee established to serve as liaison between the administration and the academic staff.

1945 The Association of the Teaching Staff of the University of Alberta (ATSUA) is formed to support the activities of FRC. In the same year, the ATSUA agrees that FRC will serve unofficially as its executive.

1950 ATSUA formally elects executive to assume responsibilities of FRC. The FRC is dissolved.

1959 The ATSUA becomes the Association of the Academic Staff: University of Alberta (AAS:UA), in order to include non-teaching academic staff as members.

1961 The new Calgary campus faculty establish a semi-independent faculty association. The AASUA is named the Association of Academic Staff: University of Alberta (Edmonton) (AASUAEdmonton). The two associations make one representation to the Board.

1966 The Universities Act creates two separate Universities. The Edmonton association assumes its former name (AAS:UA).

The Faculty Handbook of the University of Alberta becomes part of the contract of appointment to the University of all full-time faculty and professional librarians.

1970 The Rules and Regulations: Administrative and Professional Officer Category forms part of the contracts of appointment to the University of all "Officers".

1971 The AAS:UA is registered as a society with the Companies Branch, Alberta Consumer and Corporate Affairs.

1976 The AASUA enters into agreements with the Board on behalf of all full-time faculty, professional librarians, faculty service officers and administrative and professional officers, in four separate agreements.

1981 The Universities Amendment Act formally recognizes Alberta university faculty associations. The four agreements constitute the "Agreement" provided for in the Universities Amendment Act for those full-time academic staff who are so designated by the Board.

Narrative History to 1985
The Association of the Academic Staff of the University of Alberta originated with the Faculty Relations Committee, a body established during the 1930's by University President Dr. W. A. R. Kerr, to serve as a liaison committee between the Administration and the academic staff. Records dealing with the inception of the Faculty Relations Committee are unfortunately vague. The first recorded minutes referring to the Committee occur in the minutes of the General Faculties Council meeting of November 27, 1939, in which President Kerr is reported as stating that he named the Committee with the approval of the General Faculties Council three years ago. However, no record of any such endorsement can be found, although Dr. Kerr's own correspondence reports that in July, 1937, he appointed six members of the University faculty to constitute a committee for the 1937-38 session for consultation with the President regarding matters relating to the academic staff. The first official meeting of the Faculty Relations Committee, with recorded minutes, appears not to have occurred until March 15, 1939, when the Committee met under the chairmanship of Dr. A. W. Downs, as appointed by Dr. Kerr.

During its initial meetings, the Committee dealt with the question of Provincial Government trade claim vouchers, referred to it by the General Faculties Council. In November of 1939, based on its own recommendations made to the President, the Committee was reorganized according to a more democratic system of selection and was consequently more adequately able to deal with problems concerning the academic staff in general, particularly in the matter of the restoration of salary cuts that had been made during the Depression.

Before the outbreak of World War II, the Association of the Teaching Staff of the University of Alberta (A.T.S.U.A.) was formed as a supplement to the Faculty Relations Committee. The aims of the A.T.S.U.A., as outlined in its 1945 Constitution, were to foster academic fraternity among the members of the Association; to protect the independence and freedom of teaching, of thought, and of research within the University; and to promote the interests and economic welfare of the members of the Association.

The Faculty Relations Committee and the A.T.S.U.A. were brought together when the A.T.S.U.A. accepted the Faculty Relations Committee as its executive in 1945. This move did not deprive the Faculty Relations Committee of its independence and autonomy of function, and during this time the Committee continued as the official liaison organization between the Administration and the full-time members of the academic staff (both teaching and non-teaching), as recognized by the Board of Governors and the President.

However, although the A.T.S.U.A. Constitution named the Faculty Relations Committee as responsible to the General Meeting of the A.T.S.U.A., the relationship between the Committee and the Association members was somewhat indirect as the Faculty Relations Committee was still a semi-appointed body. This anomalous situation was only rectified in 1950 with the absorption of the Faculty Relations Committee into the A.T.S.U.A.

Henceforward, the elected executive of the A.T.S.U.A. was recognized as performing the functions of the Faculty Relations Committee, and the Faculty Relations Committee itself was dissolved, as reported by the President to the General Faculties Council on February 26, 1951.
In March of 1959, along with other constitutional amendments, the A.T.S.U.A. changed its name to the Association of the Academic Staff of the University of Alberta (A.A.S.U.A.), so as to make provision for the University's non-teaching academic staff.

The move toward an independent Calgary campus necessitated the distinction between an A.A.S.U.A.E. (Edmonton) and an A.A.S.U.A.C. (Calgary), when the constitution of a semi-independent faculty association in Calgary was approved by the A.A.S.U.A. executive on March 10, 1961. The two associations still remained closely linked and did not make separate representations to the Board of Governors.

It was not until the Universities Act was passed in 1966 that the University of Calgary was given complete autonomy. Calgary's faculty association then became known as The University of Calgary Faculty Association (T.U.C.F.A.), while the Edmonton association went back to being referred to as the A.A.S.U.A.

Another change brought about by the new Universities Act was the organization of a new General Faculties Council, of which more than half of its members were directly elected by faculty members. This development, along with the increased powers allotted to the new Council, brought into serious question the need for an academic staff association, and the role of the A.A.S.U.A. was brought under close scrutiny.

After considerable debate, the Association was able to prove its validity as an important component to the successful operation of the University. In 1971, the Association became registered under the Societies Act of the Province of Alberta, and in 1981, after several years of negotiations, the Association was finally incorporated into the Universities Act, thereby gaining legal recognition as the representative body and exclusive bargaining agent of the academic staff.

Today, the A.A.S.U.A. continues to serve as a bargaining agent for the faculty in matters of personal financial concern, particularly in regard to salaries and pensions; to act on behalf of individual faculty members who feel they have not received just treatment by the Administration; and to serve as a forum for the development and expression of faculty opinion in matters of concern to the University.

This summary was prepared by the Archives of the University of Alberta, 1985.
### Appendix 5.2: AASUA Past Presidents

<table>
<thead>
<tr>
<th>Year</th>
<th>Name</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>1938-39</td>
<td>A. E. Downs</td>
<td>Psychology/Pharmacy</td>
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<tr>
<td>1939-40</td>
<td>G. A. Elliott</td>
<td>Political Economy</td>
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<tr>
<td>1940-41</td>
<td>W. G. Hardy</td>
<td>Classics</td>
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<tr>
<td>1941-42</td>
<td>O. J. Walker</td>
<td>Chemistry</td>
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<tr>
<td>1942-43</td>
<td>J. MacDonald</td>
<td>Philosophy</td>
</tr>
<tr>
<td>1943-44</td>
<td>D. E. Cameron</td>
<td>University Library</td>
</tr>
<tr>
<td>1944-45</td>
<td>E. H. Bommer</td>
<td>Chemistry</td>
</tr>
<tr>
<td>1945-46</td>
<td>M. M. Cantor</td>
<td>Biochemistry</td>
</tr>
<tr>
<td>1946-47</td>
<td>R. F. Shaner</td>
<td>Anatomy</td>
</tr>
<tr>
<td>1948-49</td>
<td>A. J. Cook</td>
<td>Mathematics</td>
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<tr>
<td>1949-50</td>
<td>J. W. Gilles</td>
<td>Educ. Psychology</td>
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<tr>
<td>1950-51</td>
<td>L. A. Thorssen</td>
<td>Civil Engineering</td>
</tr>
<tr>
<td>1951-52</td>
<td>A. A. Ryan</td>
<td>English</td>
</tr>
<tr>
<td>1952-53</td>
<td>J. Tuba</td>
<td>Biochemistry</td>
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<tr>
<td>1953-54</td>
<td>H. S. Baker</td>
<td>Secondary Education</td>
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<tr>
<td>1954-55</td>
<td>H. B. Collier</td>
<td>Biochemistry</td>
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<tr>
<td>1955-56</td>
<td>W. G. Corns</td>
<td>Plant Science</td>
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<tr>
<td>1956-57</td>
<td>H. C. Melsness</td>
<td>Educ. Admin</td>
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<tr>
<td>1957-58</td>
<td>D. B. Robinson</td>
<td>Chemical Eng.</td>
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<tr>
<td>1958-59</td>
<td>A. T. Elder</td>
<td>English</td>
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<tr>
<td>1959-60</td>
<td>S. R. Sinclair</td>
<td>Civil Engineering</td>
</tr>
<tr>
<td>1960-61</td>
<td>H. Kreisel</td>
<td>English</td>
</tr>
<tr>
<td>1961-62</td>
<td>D. B. Scott</td>
<td>Physics</td>
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<tr>
<td>1963-64</td>
<td>G. R. Davy</td>
<td>Political Science</td>
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<tr>
<td>1964 (May-Dec)</td>
<td>E. K. Penikett</td>
<td>Bacteriology</td>
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<tr>
<td>1965-66</td>
<td>I. Sowton</td>
<td>English</td>
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<td>1966-67</td>
<td>E. E. Daniel</td>
<td>Pharmacology</td>
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<tr>
<td>1967-68</td>
<td>W. Allen</td>
<td>Chemistry</td>
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<td>1969-70</td>
<td>W. E. Smith</td>
<td>Genetics</td>
</tr>
<tr>
<td>1970-71</td>
<td>W. E. Smith</td>
<td>Genetics</td>
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<tr>
<td>1971-72</td>
<td>B. M. Barker</td>
<td>Law/Psychiatry</td>
</tr>
<tr>
<td>1972-73</td>
<td>L. Stephens-Newsham</td>
<td>Pharmacy</td>
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<tr>
<td>1973-74</td>
<td>P. Freeman</td>
<td>Law</td>
</tr>
<tr>
<td>1974-75</td>
<td>G. R. Davy</td>
<td>Political Science</td>
</tr>
<tr>
<td>1975-76</td>
<td>N. Hersom/R.D. Bercov</td>
<td>Elem. Educ./Math</td>
</tr>
<tr>
<td>1976-77</td>
<td>L. Eberlein</td>
<td>Educ. Psychology</td>
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<tr>
<td>1977-78</td>
<td>R. Macnab</td>
<td>Physical Education</td>
</tr>
<tr>
<td>1978-79</td>
<td>R. Coutts</td>
<td>Pharmacy</td>
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<tr>
<td>1979-80</td>
<td>L. Milligan</td>
<td>Animal Science</td>
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</table>
1982-83  G. Fearn  Sociology
1983-84  P. Heron  Rec. & Leisure St.
1985-86  I. A. Campbell  Geography
1986-87  J. Goldberg  Educ. Psychology
1987-88  B. J. Busch  University Library
1988-89  J. E. Bertie  Chemistry
1989-90  J. C. Robb  Law
1990-91  F. P. Van De Pitte  Philosophy
1991-92  J. G. Marino  English
1992-93  C. R. Wilson  Anthropology
1993-94  C. R. Wilson  Anthropology
1994-95  A. McDougall  History & Classics
1995-96  R. Szostak  Economics
1996-97  W. R. Kaufman  Biological Sciences
1997-98  P. Woodard  Renewable Resources
1998-99  W. Renke  Law
2000-01  J. Buckingham  University Library
2001-02  D. Carmichael  Political Science
2002-03  J. Hoddinott  Biological Sciences
2004-05  T. Keating  Political Science
2005-06  K. Arbuckle  University Library/Law
2006-07  D. C. Johnson  History & Classics
2007-08  R. Campenot  Cell Biology
2008-09  J. P. Richards  Earth & Atmospheric Sciences
2009-10  W. T. Dixon  Agricultural, Food and Nutritional Science
2010-11  C.D. Heth  Psychology
2011-12  I. MacLaren  English & Film Studies / History & Classics
2012-13  D.Wilson  Nursing
2013-15
Appendix 6: Acronyms and Definitions

Acronyms

AASUA  Association of Academic Staff of the University of Alberta (official abbreviation)
AAS:UA  former official abbreviation for the name of the Association
ABMC  Academic Benefits Management Committee (joint Association-Administration committee)
APC  Academic Planning Committee (of GFC) (university committee)
APO  Administrative Professional Officer
BoG  Board of Governors
CAFA  Confederation of Alberta Faculty Associations (provincial federation)
CAS(T)  Contract Academic Staff (Teaching)
CAUT  Canadian Association of University Teachers (national federation)
FEC  Faculty Evaluation Committee (university committee)
FSO  Faculty Service Officer
GAC  General Appeals Committee (university committee)
GFC  General Faculties Council (university committee)
NASA  Non-Academic Staff Association (created by the Post-secondary Learning Act)
PSLA  Post-secondary Learning Act
RSA  Research and Scholarly Activity [Committee] (Association committee)
SOTS  Sessionals and Other academic Temporary Staff
T/RAS  Trust/Research Academic Staff
UAPP  Universities Academic Pension Plan (provincially chartered organization)
URPC  University Research Policy Committee (university committee)
Appendix 5

UTS University Teaching Services (university administrative unit)

**Definitions**

**Ad hoc committee**  
A committee established, generally on a short-term basis, to work on a specific problem or project. It may be advisory in intent as well.

**Aiken salary grid**  
Ranking system for evaluating support staff positions, widely used at the university for members of the Non-Academic Staff Association.

**Constituency committee**  
Formal structure of a constituency group, created by and reporting to Council.

**Constituency group**  
Group of members of the Association having similar employment characteristics, working under a single collective agreement and electing its own representatives to Council.

**General meeting**  
A meeting open to all members of the Association, called according to one of three processes, to consider a specific concern or issue.

**Hay Points**  
Ranking system for evaluating administrative professional staff positions, devised by Hay Associates and widely used at the U of A.

**Nominee to BoG**  
The Association is permitted by the PSLA to elect a person to be its representative on the Board of Governors. Although the Association members elect him or her, it is actually a nomination process, for it is the Minister who transforms him or her from Nominee to Member of the Board by an official letter of appointment. Note: the capital “N” is significant here.

**President’s Fund**  
An annual sum of $1,000 is allocated to the President for disbursement at his or her discretion, subject to the approval of the Treasurer and one other Officer of the Association.

**Referendum**  
A ballot of all members of the Association on a policy resolution that will bind the Association.

**Standing committee**  
A committee with a long-term function that continues from year to year, created by and reporting to Council.
| **Sub-committee** | A sub-committee of the Executive Committee, created by the Council, to deal with a specific range of tasks. These committee may be standing or ad hoc. |
| **Town hall meeting** | A meeting called by the President, Executive Committee, or Council to sound out the opinion of the membership (or a sub-group of the membership) on a particular question. No formal vote is taken or implied. |