

BOARD OF GOVERNORS

The material contained in this document is the Agenda for the next meeting of the Board of Governors.

Tuesday, May 21, 2013

**Alan A. Borger Sr. Executive Conference Room
E1-270 Engineering Information and Technology Complex
4:00 p.m.**

OPEN SESSION

Please call regrets to: 474-6165 no later than 9:00 a.m. the day of the meeting.

OFFICE OF THE UNIVERSITY SECRETARY



**UNIVERSITY
OF MANITOBA**

BOARD OF GOVERNORS

Alan A. Borger Sr. Executive Conference Room
(E1-270 EITC)

Tuesday, May 21, 2013 at 4:00 p.m.

OPEN SESSION

Page 1 of 2

AGENDA

	Presenter	Page
1. ANNOUNCEMENTS	Chair	
<u>FOR ACTION</u>		
2. APPROVAL OF THE AGENDA	Chair	2
3. MINUTES (Open Session)		
3.1 Approval of the Minutes of the March 19, 2013 OPEN Session as circulated or amended	Chair	4
3.2 Business Arising	Chair	
4. UNANIMOUS CONSENT AGENDA	Chair	
<i>If any member of the Board wants to ask a question, discuss or oppose an item that is marked for the consent agenda, the member can have an item removed from the consent agenda by contacting the Secretary of the Board prior to the meeting or by asking that it be removed before the Chair calls for a mover and seconder for the motion to approve or receive, by unanimous consent, the items listed.</i>		
Consent items are: 6.4.1, 6.4.2, 6.4.3, and 6.4.4		
5. NEW BUSINESS		
5.1 Report from the President	President	9
6. FROM FINANCE, ADMINISTRATION AND HUMAN RESOURCES COMMITTEE		
6.1 Operating Budget	Ctte. Chair	16
6.2 Increase to UMSU Operating Fee & Endowment Fund Fee	Ctte. Chair	40
6.3 Policy: Responsible Conduct of Research	Ctte. Chair	44
6.4 Student Referenda		
6.4.1 School of Art	Ctte. Chair	69
6.4.2 Department of Interior Design	Ctte. Chair	73
6.4.3 Marcel A. Desautels Faculty of Music	Ctte. Chair	77
6.4.4 Clayton H. Riddell Faculty of Environment, Earth, & Resources	Ctte. Chair	81





UNIVERSITY
OF MANITOBA

**Minutes of the OPEN Session of the
Board of Governors
March 19, 2013**

Present: J. Lederman, Chair
J. Leclerc, Secretary

B. Arte D. Barnard A. Berg J. Black T. Bock P. Bovey
N. Halden G. Hatch S. Jesseau M. Labine B. Passey M. Robertson
D. Sauer M. Whitmore R. Zegalski

Regrets:

E. Bowness A. Dansen J. Embree R. Howard S. Jasper J. Kearsey
E. Ojo H. Sector

Absent: R. Dhalla

Assessors Present: Cameron Morrill

Officials Present: S. Foster J. Keselman D. Jayas P. Kochan A. Konowalchuk

1. ANNOUNCEMENTS

The Chair reminded members of the following changes to the Board schedule:

- May 7 meeting of Finance, Administration & Human Resources has moved to May 1
- September 10 Finance, Administration & Human Resources moved to MONDAY, September 30
- September 24 Board meeting has been moved to Tuesday, October 8

The Chair then welcomed Andrew Konowalchuk, the new Associate Vice – President (Administration), who will be presenting during Closed and Confidential Session.

FOR ACTION

2. APPROVAL OF THE AGENDA

It was moved by Ms. Bovey and seconded by Ms. Jesseau:

THAT the agenda for the Open session of the March 19, 2013 Board of Governors meeting be approved as circulated.

CARRIED

3. **MINUTES (Open Session)**

- 3.1 Approval of the Minutes of the January 29, 2013 OPEN Session as circulated or amended

It was moved by Ms. Arte and seconded by Ms. Bovey:

THAT the minutes of the Open session of the January 29, 2013 meeting be approved as circulated.

CARRIED

- 3.2 Business Arising – none

4. **UNANIMOUS CONSENT AGENDA**

The Chair asked whether any member had concern with any of the items on the Consent Agenda. No items were identified for individual consideration.

It was moved by Mr. Berg and seconded by Ms. Bovey that the Board of Governors approve and/or receive for information the following:

THAT a \$1.67 per credit hour contribution be assessed against the students in the Department of Architecture for a three year term commencing in the fall of 2013 as outlined in the letter from Ralph Stern, Dean, Faculty of Architecture, dated January 15, 2013.

THAT the Board of Governors approve the Report of the Senate Committee on Awards [dated January 29, 2013].

THAT the Board of Governors approve eighteen new offers and three amended offers, as set out in Appendix A of the Report of the Senate Committee on Awards [dated January 17, 2013].

THAT the Board of Governors approve the Report of the Senate Committee on Awards – Part A [dated December 12, 2012].

THAT the Board of Governors approve the Report of the Senate Committee on Awards – Part B [dated December 12, 2012].

University Discipline Committee Annual Report (for information)

CARRIED

5. **REPORT FROM THE PRESIDENT**

Dr. Morrill asked whether the President had received any news related to the provincial government's funding commitment, explaining that he had heard some dissatisfaction with the University's spending. Dr. Barnard replied that he had had no communication from the Province about that and that he had had very positive meetings with the Premier and the Minister. Dr. Barnard added that although it is obvious that the Province is under financial pressure, he continues to hope for positive news.

6. **FROM FINANCE, ADMINISTRATION AND HUMAN RESOURCES COMMITTEE**

6.1 2013-2014 Residence Room and Meal Plan Rates

Mr. Zegalski noted that the rates presented had been compared with other institutions around the country. He added that there had been some debate at the committee level about the rates, but the consensus was that the proposed rates were reasonable and appropriate, particularly when considering the university's deferred maintenance concerns. Mr. Kochan noted that this is a cost recovery issue and it comes forward every year. Ms. Arte asked whether there had been discussion around comparing the proposed increases to City of Winnipeg rent increases over the past few years. Mr. Kochan indicated that it had not been discussed, and explained that the University considers the costs associated with running the residences, including maintenance. Mr. Zegalski added that the University is on the more affordable end of the scale when other similar institutions are compared.

It was moved by Mr. Zegalski and seconded by Mr. Robertson:

THAT the Board of Governors approves the room rate increases for 2013-14 for the Arthur V. Mauro Residence (4.5%), Mary Speechly Hall (5.5%), Pembina Hall Residence (3.5%), and University College Residence (5.5%); and the three Meal Plans increases (5.0%) as detailed in the tables attached.

CARRIED

7. **FROM GOVERNANCE & NOMINATING COMMITTEE**

7.1 Revised Distinguished Service Award Policy

The Chair stated that the revised policy was intended to make the purpose of the award clear. She added that there had not been sufficient nominations in past years. She reminded members that this award is recognition from the board and encouraged people to submit names for consideration. She added that the goal is to develop a reserve list of names so there would be a pool from which to draw annually. Mr. Zegalski commented that some work was underway by the Alumni Association and it would be wise to avoid any overlap in award criteria. He added that more information from the Alumni Association will be forthcoming.

It was moved by Dr. Whitmore and seconded by Mr. Berg:

THAT the Board of Governors approve the revisions to the Distinguished Service Award Policy.

CARRIED

FOR INFORMATION

9. UPDATES

9.1 Updates from the UMSU President & GSA President

Ms. Arte reported that the UMSU Executive was working on the transition to the incoming Executive and that she hoped to bring her replacement to the next meeting. She added that they are still working on the universal bus pass project and that it would likely be on the Board of Governors agenda in the fall.

The Chair noted that Mr. Ojo was away so there would be no GSA report.

FOR DISCUSSION

11. FROM SENATE

11.1 Undergraduate Enrolment Targets

Dr. Barnard noted that this topic has been discussed at Senate Planning & Priorities Committee (SPPC), Senate, and that it had previously been presented at the Board. He explained that this represents a minor revisiting of targets moving forward and was a good step for now, adding that as the University gets deeper into Strategic Enrolment Management (SEM) it would be necessary to look more closely at what is happening in individual faculties, as it may be desirable to expand or pull back in some areas.

Dr. Keselman elaborated, indicating that there had been a review of existing policies as the last time there was a review of the policy on enrolment quotas was in 1970. She added that there were also enrolment targets that enrolment services uses for admission. Her office had met with deans and directors to determine a baseline from which the SEM plan will be developed. She explained that it is just a taking stock to create a document to use going forward.

Dr. Whitmore commented that the Faculty of Science, limitations are not the students in a program, but the number that can be accommodated in the courses because approximately two thirds of students taking science courses are from other faculties. He noted that this was likely the case in other faculties as well.

MOTION TO MOVE TO CLOSED AND CONFIDENTIAL SESSION

It was moved by Ms. Bovey and seconded by Mr. Robertson:
THAT the meeting move into Closed and Confidential Session.

CARRIED

Chair

University Secretary

DRAFT

PRESIDENT'S REPORT: May 21, 2013

GENERAL

Ovide Mercredi [LLB/1977], a lawyer, negotiator, former National Chief of the Assembly of First Nations, activist, author, poet and artist, has been named the 2013 Distinguished Alumni Award recipient by the University of Manitoba's Alumni Association. The Distinguished Alumni Award is given out to a graduate who has shown outstanding professional achievement, significant service to the University of Manitoba, or significant contributions to the community and welfare of others. It is presented by the Alumni Association Inc. of the University of Manitoba at the Homecoming Dinner, held this year on September 28, 2013.

The Visionary (re)Generation International Urban Design jury met April 29th and 30th in Winnipeg and shortlisted the 45 Phase One submissions to 6 submissions. In December of 2012 the University of Manitoba launched the Visionary (re)Generation Open International Design Competition, which tasked teams with developing an overall vision and urban design strategy for the Fort Garry campus and the newly acquired Southwood Precinct, a 49-hectare parcel of beautiful land that was formerly a golf course. The six finalists will proceed on to Phase 2, which will require teams to further detail their plans in the period from May to September 2013, with the winner to be announced in November 2013.

The Province of Manitoba delivered the 2013 Provincial Budget on Tuesday, April 16. The 2013 budget provides for an operating grant increase of 2.5% and permits tuition fee increases at the rate of inflation. The Province was unable to fill its previous commitment to increase university base grant funding by five percent in Budget 2013. The 2013-14 operating budget and financial plans for all other fund types (Research and Special, Capital, Trust and Endowment) will be presented to the Board of Governors (BoG) on May 21, 2013.

The University of Manitoba continues to be committed to collaboration and communication with other post-secondary institutions. Members of the Association of Universities and Colleges of Canada met in Alberta in late April for a series of productive discussions, closely followed by similarly valuable meetings of the U15 at the beginning of May, also in Alberta.

The University of Manitoba takes the opportunity to celebrate its students, faculty, staff and alumni on various occasions throughout the year, which abound in the springtime. Over the past few weeks, I have had the pleasure of participating as the University has honoured its First Nations, Metis and Inuit graduates at the traditional graduation powwow, recognized the contributions of faculty members in being designated professors emeriti, and celebrated the achievements of new graduates at the graduating international students reception and at the Northern Social Work graduation ceremony in Thompson.

ACADEMIC MATTERS

- The School of Dental Hygiene will celebrate its 50th year anniversary in September 2013.
- Peter McVetty, plant science, Esyllt Jones, history, and Rick Linden, sociology, were recently awarded the Queen Elizabeth II Diamond Jubilee Medal.

- Karen Adams, University Librarian, received the 2013 Canadian Library Association's Award for Outstanding Service to Librarianship for her outstanding contributions to Canadian librarianship. Her distinguished career spans public, government, and academic libraries; involves leadership in provincial, regional, national, and international library organizations; includes teaching, research, mentoring, consulting, and publication; and demonstrates leadership on pivotal library issues, such as copyright.
- Sandy Hershcovis, business administration, received the Rh Award for her research in workplace aggression and understanding why people mistreat others at work and how this affects the victim's well-being, job attitudes and performance.
- Mel Sawyer, dentistry, was honoured by the British Columbia College of Dental Surgeons for his work on establishing the Infection and Prevention Control Guidelines for dental practice in British Columbia.
- Drena Dunford, pharmacy, was recently appointed by the Executive Committee of National Association of Pharmacy Regulatory Authorities (NAPRA) to the National Drug Scheduling Advisory Committee (NDSAC) where she will serve as an academic expert.
- Stephane Durocher, computer science, received the Rh Award-Interdisciplinary, for his research involving computational geometry, data structures and discrete algorithms.
- Mohammad Jafari Jozani, statistics, received the Rh Award-Natural Sciences, for his contributions to the theory and application of statistics.
- A "scrawl on the wall" campaign was recently held to take the temperature on issues related to health, mental health and well-being. Students and staff at all three campuses took the opportunity to express their opinions by way of 19 different "scrawl on the wall" sites.
- Bannatyne Health Expo was held on March 25, 2013. As well, *We ♥ Dogs* took place on April 4 at Bannatyne Campus and April 9 & 10 at Fort Gary Campus as a de-stress event. St. John Ambulance Dogs and their owners came out for two hours and were greeted by keen students, staff and faculty.
- On April 8, 2013, the *Celebrating 25 years of Peers: Students Helping Students!* event was held honoring the student volunteers of the peer-to-peer informal counseling program.
- A delegation of students and faculty attended the G20 Youth Forum 2013 in St. Petersburg, Russia from April 15-21, 2013. This is a prestigious international event designed to involve young leaders from all over the world in resolving the most pressing economic and social problems of the moment; to establish an intercultural dialogue; and to build business partnerships and friendships.
- The first participants of the Student Leadership Development Program were recently recognized. This group of 25 students participated in an eight week co-curricular leadership program aimed at providing students with leadership training and the opportunity to develop their skills by connecting them to leadership opportunities on campus.

- The 2013 Emerging Leaders Dinner was held on March 14 and more than 75 students were recognized for their leadership and contributions to the community.
- In February, two alternative reading week programs were held; a community service learning project in El Salvador, and a local community service project in Winnipeg. Twenty six students participated in these programs, which provided them with the opportunity to support and build stronger communities.
- The School of Art held their first exhibition showcasing the artistic achievements of the Bachelor of Fine Arts' graduating students. The exhibition was accompanied by a color catalog, designed by John Funk, design alumnae of the School.
- In partnership with Manitoba Trade and Investment, a group of 14 Business School MBA students travelled to Sao Paulo and Porto Alegre, Brazil from March 29 to April 8, 2013, to better understand the barriers and opportunities of international trade and international business between Canada and Brazil.
- *Science Rendezvous* was held on May 11th and provided families and children the opportunity to come to the University and explore science through the dozens of interactive displays, hands-on activities, a Chemistry magic show, and a Physics Circus.
- Sixty high school students from Wayfinders (an education program that supports students to earn credits towards graduation and develops life skills through tutoring, career exploration, community mentorship and community service) visited the University of Manitoba and were given lab tours and participated in a science learning activity.
- Let's Talk Science continues to make a difference through community outreach with trips to Lac du Bonnet and Morris. In addition, on May 3rd a science challenge took place where 26 teams of grades 6-8 students were given a few months to study a very science-intensive handbook and compete for the title of "All Science Challenge Champion".

RESEARCH MATTERS

- On April 22, the Canadian Institutes of Health Research (CIHR) announced a new national research program—the first in the world that unites and integrates the solid organ transplant, bone marrow transplant and the donation and critical care research communities together. Seven researchers from the University of Manitoba, CancerCare Manitoba, Transplant Manitoba, Manitoba Institute of Child Health and St-Boniface Hospital Research are part of the Canadian National Transplantation Research Program (CNTRP). Along with 105 researchers and 86 collaborators at 13 centres and universities in nine provinces, the Manitoba researchers will work on six national research projects to improve clinical outcomes for transplant recipients, supported by two national core platforms. The Manitoba researchers are: Peter Nickersen (Medicine, Immunology); Donna Wall (Pediatrics and Child Health, Immunology, Internal Medicine, CancerCare Manitoba); Kristjan Paulson (Internal Medicine, CancerCare Manitoba); Darren Freed (Surgery, St-Boniface Hospital and St-Boniface Hospital Research); Julie Ho (Medicine); David Rush (Medicine, Transplant Manitoba); Tom Blydt-Hansen (Pediatrics, Transplant Manitoba, Manitoba Institute of Child Health).

- Fourteen researchers received \$2,985,014 in funding from several sponsors, for the following projects (over \$25,000):

PI	Sponsor	Title	Awarded
Ball, Terry (Blake) (Immunology)	CIHR	Defining the mechanisms of IRF 1 in mediating innate resistance to mucosal HIV acquisition in HIV exposed seronegative (HESN) women	\$100,000
Cardona, Silvia (Microbiology)	Cystic Fibrosis Canada	Target identification of novel growth inhibitory small molecules through genome-wide competitive growth in the multiple antibiotic resistant <i>Burkholderia cenocepacia</i>	\$301,790
Chochinov, Harvey (Psychiatry)	CIHR	Dignity talk: A novel palliative care intervention for patients and their families	\$200,383
Fowke, Keith (Medical Microbiology)	CIHR	Limiting HIV target cells by inducing immune quiescence in the female genital tract	\$372,438
Hack, Thomas (Dean's Office - Faculty of Nursing)	CIHR	Impact of treatment consultation on oncology patient outcomes: A prospective, parallel randomized controlled trial	\$178,591
Ho, Juliet (Internal Medicine)	CIHR	Identification of novel proteins as diagnostic or mechanistic targets for renal allograft inflammation	\$854,358
Richard Holley (Food Science)	NSERC Engage	Antimicrobial efficacy of chlorine dioxide for surface decontamination of fresh beef trimmings	\$25,000
Millikin, Colleen (Clinical Health Psychology)	CIHR	Neuroimaging profiles of neuropsychiatric subgroups in mild cognitive impairment and early Alzheimer's Disease	\$50,000
Tangri, Navdeep (Internal Medicine)	CIHR	Frailty and outcomes in chronic kidney disease	\$100,000

Targownik, Laura (Internal Medicine)	CIHR	Skeletal safety of chronic proton pump inhibitor use: Evaluating bone density, structure and strength	\$50,027
Targownik, Laura (Internal Medicine)	Manitoba Health Research Council	Skeletal safety of chronic proton pump inhibitor use: Evaluating bone density, structure and strength	\$50,027
Triggs-Raine, Barbara (Biochemistry and Medical Genetics)	Mizutani Foundation for Glycoscience	Determination of the role of Hyaluronidase 2 in the uptake of hyaluronan	\$43,000
Walker, John (Clinical Health Psychology)	CIHR	Factors associated with mucosal recovery in celiac disease	\$59,400
Woodgate, Roberta (Nursing)	CIHR	A child and youth centred approach to applied health services and policy research	\$425,000
Woodgate, Roberta (Nursing)	Canadian Hemophilia Society	Living with and managing hemophilia from diagnosis and through key care transitions: The journey for families of children with hemophilia	\$75,000
Yang, Xi (Medical Microbiology)	CIHR	Linkage between innate and adaptive immunity in chlamydial lung infection	\$100,000

ADMINISTRATIVE MATTERS

- The newly created **Office of Sustainability** has moved into their permanent location on the 5th Floor of the FitzGerald Building.
- The **Bannatyne Campus Master Plan** engagement process continues and to-date over 700 people and 40 stakeholder groups including students, faculty, staff, administration and surrounding neighbourhood stakeholders have been part of the process through meetings and open house events. All engagement feedback is being tabulated and will be used to draft the final Bannatyne Plan, expected to be completed in June 2013.
- The **Interim Active Transportation Plan** - working with local active transportation advocates, five active transportation routes have been defined to safely and efficiently assist in moving cyclists to the University bike compound, bike parking on campus and the stadium. The routes will be signed and improved over the next several weeks.

- The **ECS – Space Master Plan Project** – Fort Garry & Bannatyne Campuses is at its mid-point with expectations of being completed in Fall 2013.
- The Construction Safety Association of Manitoba (CSAM) has sent a Letter of Good Standing congratulating the University on attaining the **Certificate of Recognition (COR™) recertification**. Following the auditor verification review, it was determined that the University continues to meet the necessary documentation, observation and interview requirements of the COR™ National Standard (Manitoba).
- The **16th Campus Beautification Day** will take place on Thursday, May 23rd with Friday, May 24th booked in case of rain.
- In addition to the announcement regarding funding levels for 2013/14, Budget 2013 also commits to making Manitoba the first province to introduce legislation to help ensure that international students have a safe, positive experience in Manitoba.

EXTERNAL MATTERS

- Working in collaboration with Bison Sports, MCO produced a “postcard” style promotional piece launching the Bison 2013 Football season as part of the inaugural launch of the new Investors Group Field stadium.
- As of May 3, 2013 the university has raised \$1,457,512.82 in this fiscal year.
- Significant gifts and activities include: a gift of \$110,500.00 from Manitoba Hydro for Manitoba Hydro Employment Equity Bursaries, the Manitoba Hydro New Generation Engineering Scholarship Program, and the Manitoba Hydro Aboriginal Education Funding Program.
- On April 22 Premier Greg Selinger, Minister of Health Theresa Oswald and Minister of Advanced Education and Literacy Erin Selby were on campus to announce the Budget 2013 funding commitment to nursing. This year’s provincial budget includes \$1.45M (\$800,000 increase) for the UM Master of Nursing – Nurse Practitioner Stream and \$200,000 for the Doctoral in Nursing Program. Dean of Graduate Studies and Vice-Provost (Graduate Education) Jay Doering and Dean of Nursing Beverly O’Connell participated on behalf of the University.
- On April 26, 2013, Andrea Lyon, Associate Deputy Minister (Environment Canada) and Federal Champion of the University of Manitoba, along with Assistant Director-General Mike Norton and Senior Program Advisor Loren Remillard met with President David Barnard and VP (External) John Kearsley to discuss a number of issues including the Truth and Reconciliation Commission National Research Centre to be built at the University of Manitoba. Andrea Lyon also received a tour of the ARTLab from Director of the School of Art Paul Hess and an overview of the new Nellie Cournoyea Arctic Research Centre from Associate Dean (Research) in the Faculty of Environment, Earth and Resources, David Barber.

- The eighth event of our award-winning Visionary Conversations series for 2012-2013 was held on Wednesday, April 17th, 2013 at Bannatyne Campus. The title of the discussion was '*Global Pandemic: Another Y2K or Future Apocalypse?*' and the featured panelists included Frank Plummer, Canada Research Chair in Resistance and Susceptibility to Infections, Faculty of Medicine; Michelle Driedger, Canada Research Chair in Environment and Health Risk Communication, Faculty of Medicine; Anand Kumar, Associate Professor, Medical Microbiology/Pharmacology/Internal Medicine, Faculty of Medicine; and Joanne Embree, Head and Professor, Medical Microbiology and Infectious Diseases, Faculty of Medicine.
- On April 11, Ray Satterthwaite from Engagement Analysis Inc. presented at the Provost's Council regarding results of the Alumni Engagement and Preferences Survey.
- On April 29, the *Alumni FYI* e-news was sent to over 47,000 alumni.
- On May 2, Dr. Arnold Naimark and Dr. David MacLennan were inducted into the Canadian Medical Hall of Fame in Halifax.
- On May 2, an alumni luncheon was held in Halifax. Dr. Naimark spoke at this event prior to the Canadian Medical Hall of Fame induction ceremony.
- The Spring issue of *On Manitoba* has been released and looks at the global impact of UM alumni.



AGENDA ITEM: Operating Budget and Financial Plans for Research and Special, Trust and Endowment and Capital Funds – 2013-2014

RECOMMENDED RESOLUTION:

That the Board of Governors approve:

- a tuition fee increase on all programs and ancillary fees of 1.6%.
- the operating budget based on total revenue, fund transfers and expenditures of \$603,991,326, and
- financial plans for Research and Special, Trust and Endowment and the Capital Budget for the year ending March 31, 2013 as set out in Attachment 6 .

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

At the March, 2013 meeting of the Board of Governors, a document entitled **2013-2014 Strategic Resource Planning and Budget Framework** was presented to establish a context for the presentation of a budget proposal to the Board of Governors. An explanation of the Restricted Fund Accounting Method, the method the University of Manitoba uses to account for its revenues and expenditures in accordance with Generally Accepted Accounting Principles (GAAP), also was provided. The funds are grouped into the following categories:

- General Funds which include General Operating, Specific Provisions and Expenses Funded from Future Revenues;
- Restricted Funds which include Capital Asset, Research and Special, Staff Benefits and Trust Funds; and
- Endowment Funds.

This document presents for approval by the Board of Governors the University of Manitoba's Operating Budget, and financial plans for the Research and Special, Trust and Endowment and Capital Funds for fiscal year 2013-2014.

I. General Funds

1. General Operating Fund

The General Operating Fund is the largest of the funds which supports the academic mission, non-sponsored research and the administration of the University. General operating revenue sources include the Provincial operating grant, tuition and related fees, federal government grants, net investment income, miscellaneous income, sales of goods and services to external parties and income from ancillary enterprises.

Definitions

“Baseline” operating budgets refer to on-going budget allocations from all sources i.e. the base on which additional allocations are provided or reductions are taken.

“Budget only” refers to one-time budget allocations for 2013-2014 only. Budget only funds are not intended to fund on-going commitments such as continuing salaries.

“Basic Budget” refers to the net baseline amount on which reduction percentages, where applicable, are based, i.e., gross baseline net of sales and service revenue, other offsetting income (provincial/federal/other contract revenue, operating grants from foundations etc.), targeted tuition revenue (lab fees, surcharges, field trips etc), ACCESS program funding, indirect cost of research allocations, trust and endowment transfers, etc.

“President’s Budget Advisory Committee” refers to a committee whose composition, as currently structured, was approved by the Board of Governors. It has the following members:

- President, Chair
- four Vice-Presidents or designates, Academic and Administrative Vice-Presidents to act as Vice-Chair as required
- University Secretary
- six faculty members from the SPPC, including the Chair
- two support staff members
- Chair of the Board of Governor’s Finance, Administration and Human Resources Committee
- President of UMSU or designate
- President of the Graduate Students’ Association or designate
- Assessor from the University of Manitoba Faculty Association
- Vice-Provost (Programs and Planning) – Resource Person
- Director, Office of Institutional Analysis – Resource Person
- Director, Office of the Vice-President (Administration) – Resource Person
- Director, Office of the President – Resource Person
- Senior Financial Planning Analyst, Office of the Vice-President (Administration) – Resource Person
- Budget Officer, Office of the Vice-President (Academic) and Provost – Resource Person

The responsibilities of the Budget Advisory Committee are:

- To recommend to the President on the priorities for allocation of funds to meet the University’s strategic objectives; and
- To review the annual budget that is recommended to the Board of Governors.

Budget Process

The annual budget process begins in the summer with the development of the Operating Estimates to the Province. Through the 2013-2014 Operating Estimates process, a base grant increase of 5.0% and a tuition increase of 1.5% were assumed at the instruction of COPSE. Based on the information available at that time, it was

determined that a 5.0% base grant increase and a 1.5% tuition increase would only allow the University to offer existing programs and service at their current levels. The projections assumed a 1.5% increase in enrolment/undergraduate credit hours over projected 2012-2013 levels, a general non-salary inflation increase of 1.5%, a library acquisitions increase of 6%, and an on average increase of 4% for utilities. Salary, benefits, travel and expense allowance increases were based on anticipated or previously negotiated settlements with our eight collective bargaining units and/or as approved by the Board of Governors.

In addition to the base grant increase of 5.0% and tuition increase of 1.5%, an incremental increase of \$6 million was requested to support strategic planning framework priorities and critical transformation of the organizational infrastructure. Also included in the Estimates response, at the request of COPSE, is the University's urgent requirement for \$19.3 M in support of critical capital projects requiring immediate attention or remedial work.

The Estimates submission was approved by the Board of Governors on September 25, 2012. The Operating Estimates were also presented to COPSE by the President, Vice-President (Administration) and Chair of the Board of Governors in September, 2012.

In late fall, all faculties, schools and administrative units were asked to develop strategic resource plans using a prescribed template format. Continuing the practice established last year, both the planning template and the meeting format were revised to factor inter-unit collaboration as well as support the integration of planning for all fund types.

The Vice-Presidents, University Secretary and President's Office Senior Staff met in March, 2013 with Deans and Directors of academic units, Heads of colleges, and senior leaders of major administrative units to review and discuss their strategic resource plans.

To enhance transparency all budget presentations were open to any unit heads of major academic or administrative units and unit strategic resource planning submissions were circulated to all deans, directors, heads of colleges and heads of major administrative units.

Unit heads were advised that the following criteria would be considered in resource allocation decisions:

- alignment of proposed activities with the University Strategic Planning Framework;
- alignment of proposed activities with each unit's identified Strategic Initiatives;
- initiatives that support continued progress on our institutional transformation;
- initiatives that support the University's broad academic mission of learning, discovery with an emphasis on engagement;
- initiatives that support the University's evolving Strategic Enrolment Management initiative, particularly those relating to student progression and student success;
- evidence of novel/new academic and administrative collaborations;
- enrolment trends;

- degree to which proposed initiatives are reasonable and achievable;
- extent to which the resource plan presents a realistic response to the budget directive (i.e. planning for a potential 3% or 5% budget reduction);
- evidence of new revenue generating activities;
- impact of ROSE financial savings on the unit;
- health or sustainability of unit budgets; and
- overall quality of submission and adherence to template requirements.

The President, Vice-Presidents, University Secretary and President's Office Senior Staff subsequently met with the President's Budget Advisory Committee on three occasions to discuss the budget and to solicit input and advice.

Funding Announcement

On April 16, 2013 the Province announced the operating grant increase for the University of Manitoba. **See Attachment 1.** The base operating grant will be increased by 2.5% and Access grants will be increased by 2.5%. Additional funding support was confirmed for: the PhD Nursing Program, the Bilingual Undergraduate Medicine Stream, and the Master of Nursing Nurse Practitioner Program. Continued targeted support for the International Educated Engineer Program (IEEQ) was also confirmed. Furthermore, the Province subsequently advised that general tuition fees could increase by up to the current inflation rate, confirmed by the Province to be 1.6%.

Resource Requirements

Once funding increases were announced in April, 2013, projections of revenue and expenses were refined to reflect:

- increased tuition revenue arising from increased enrolment in 2012-2013 and 2013-2014 projected enrolment growth and 1.6% inflation increase;
- a more up to date estimate of projected salary and benefit costs;
- a more up to date estimate of the additional funding required to meet the mandatory pension payment; and
- more current information on the utilities, budget requirements, and insurance premiums. Inflationary increases on all other supplies and expenses and library acquisitions were removed from the projections.

In addition, salary turnover savings (from the academic position management process) were incorporated into the projections.

Attachment 2 details the available 2013-2014 operating baseline funding from the various sources, and can be summarized as follows:

New revenue:	\$14,350,000
Baseline available for reallocation:	<u>9,060,000</u>
Total Funding Availability:	23,410,000
Less:	
First Claims:	23,565,000
Allocations to areas of strategic priority:	<u>4,826,000</u>
Operating Budget Shortfall:	(4,981,000)

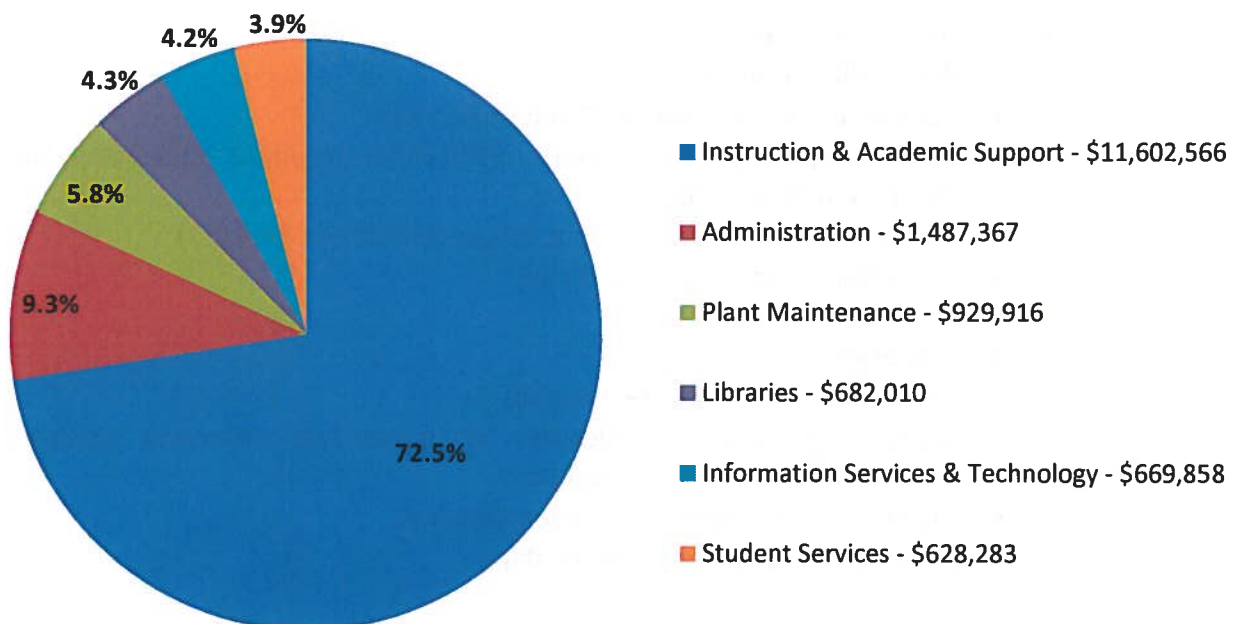
In addition, \$7,751,000 will be carried forward from the 2012-2013 fiscal year to be allocated on a fiscal only basis in 2013-2014. These funds have been transferred to specific provisions for this purpose.

Total funding availability of \$23,410,000 is allocated to areas of first claims, which includes \$16,000,000 in budgetary increases for salaries, (scale, step, merit, anomalies, promotion increases), as well as an estimated \$7,500,000 for increased mandatory pension payments. Normally inflationary increases on utilities would also be considered first claims, however due to under-spending in the 2012-2013 utilities budget; no additional funds are required in 2013-2014.

Chart A illustrates the distribution of funding for salary increases by function. As seen in the chart, of the \$16,000,000 required for salary increases, 72.5% or \$11,602,566 is allocated to academic units.

Chart A

Projected Salary Allocations by Function \$16,000,000



Assumptions for Budget Recommendations

In preparing the 2013-2014 recommendations the following assumptions were made:

- The University of Manitoba will develop a balanced budget;
- Strategic investments are required to continue progress on planning framework priorities and organizational transformation; and

Allocations to Areas of Strategic Priority

In preparing the 2013-2014 operating budget recommendations, the following priorities were identified:

- Academic Enhancement
 - support for collaborative cluster initiatives
 - Centre for Human Rights Research
 - Truth and Reconciliation National Research Centre contingency fund
 - Health Sciences research enhancement (clinical trials compliance officer, .5 FTE grant facilitator)
 - research support
 - enhanced bridge funding
 - post-doctoral fellow support
 - Institute for Plant Genomics Contingency Fund
 - support for teaching and learning
 - Teaching and Learning Fund
 - Teaching Life Publication
 - Enhance teaching and learning support (UTS)
 - faculty specific support
 - Asper School of Business - Academic Salary Support, Asper Executive Education marketing development
 - Pharmacy (PharmD program - 1.0 FTE)
- Indigenous Achievement
 - Action Plan support
 - Aboriginal student advisor (Student Services)
 - Community Indigenous support - 1FTE other academic (Kinesiology and Recreation Management)
 - Indigenous student recruitment officer (Enrolment Services)
 - Indigenous student advisor (Arts)
- Student Experience
 - enhanced graduate student support
 - support for the identification of bona fide academic program requirements - 2.5 FTE project staff
 - STATIS case management (Student Services)
 - Undergraduate Student Scholarships

- **Outstanding Workplace:** While funding for this initiative has not been identified in the 2013/14 allocations, prior year investments have supported the “It’s Up to Us” Employee Experience Survey undertaken in 2011, as well as an action plan that establishes an implementation timetable.

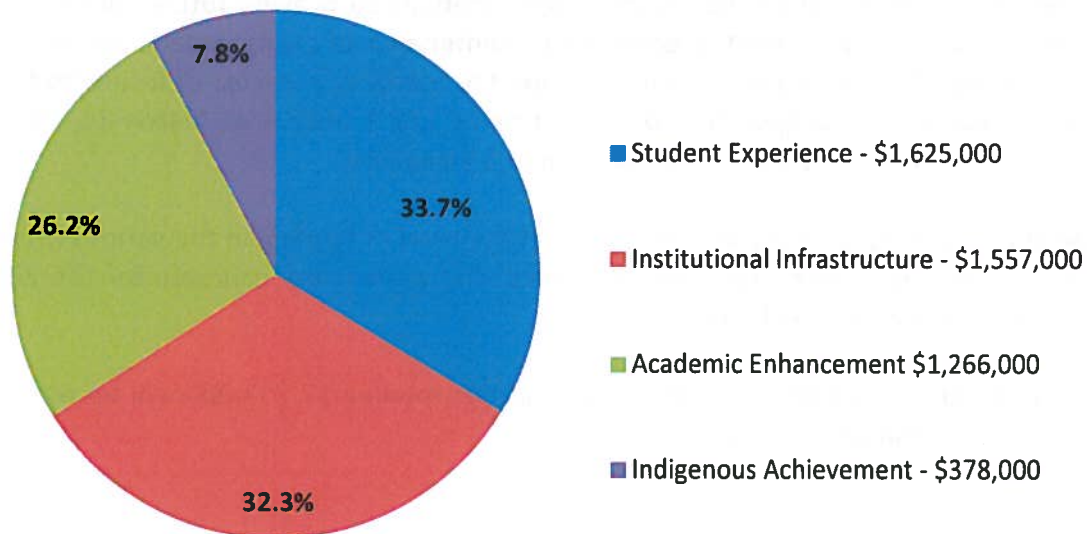
Future investments necessary to support the commitments identified in the Outstanding Workplace Initiative will be prioritized as they arise.

- **Transform Organizational Infrastructure**
 - campus planning support - 1 FTE Campus Planner
 - information services and technology - infrastructure and support
 - reasonable accommodations fund (Human Resources)
 - enhanced data support for Deans and Directors (Office of Institutional Analysis)

Chart B below illustrates the recommended distribution of \$4,826,000 to areas identified as strategic priorities. Details of these recommended allocations are shown in **Attachment 3**.

Chart B

Summary of Baseline Allocations Total - \$4,826,000



Projected 2013-2014 operating revenues from various sources is detailed in **Attachment 4**.

After considering first claims totaling \$23,565,000 and baseline reallocation of \$4,826,000 to areas of strategic priority, an operating budget shortfall of \$4,981,000 remains. To address the budget shortfall and enable the reallocation of funding to areas of strategic priority, baseline reductions totaling \$4,981,000 are summarized in Table 1 below.

Table 1

Unit	\$ Reduction	% of Baseline Reduced	March 31, 2013 Basic Baseline Budget
President's Office	\$55,000	3.13%	\$1,756,824
Vice President (Research) & International	87,000	2.33%	3,733,566
Vice-President (Academic) & Provost	287,800	1.73%	16,664,977
Faculties, Schools, Libraries & Colleges	3,937,000	1.56%	252,538,149
Vice-President (External)	122,267	1.33%	9,174,279
Vice-President (Administration)	491,933	0.88%	56,167,605
Total	\$4,981,000		\$340,035,400

Attachment 5 details the recommended 2013-2014 Operating Baseline and Fiscal Budget by unit including proposed reductions and allocations. For comparative purposes, the 2012-2013 Operating Baseline and Fiscal Budget is shown as well.

2. Specific Provisions

The Specific Provisions Fund records appropriations to provide future funding for the replacement, improvement or emergency maintenance of capital assets, unit carry-over, a fiscal stabilization provision to offset potential spending in excess of future budget and other matters. The Specific Provisions totaled \$82.9 million at March 31, 2012, the largest of which is the carryover provision at \$ 45 million.

At the end of 2012-2013, an assessment of the level of funding in the various provisions was made based on current circumstances. The preliminary estimate for the 2013/14 Specific Provisions is \$84.1 million.

As previously mentioned, fiscal only allocations totaling \$7,751,000 will be reallocated to areas of strategic priority.

II. Restricted Funds

1. Research and Special Funds – 2013-2014 Financial Plan

The Research and Special Fund consists of contributions specifically restricted for research or other special activities. Research and Special Funds include external grants and contracts from a variety of federal and provincial granting agencies, industry and non-governmental organizations provided specifically for research, research infrastructure and special activities. Funds are held in trust by the University until they are spent by our researchers, in accordance with the conditions stipulated in the governing contracts and agreements.

Expenditures have not been shown since they vary depending upon the type of research and duration of the project. The funds received in any given year for research may not all be spent in the year received, therefore, any unspent research funds as at March 31 are carried over to the following year.

Table 2 below details the 2011-2012 actual, 2012-2013 (preliminary) and 2013-2014 projected revenues and expenses for the Research and Special Fund including sources of those revenues.

Table 2
Research and Special Funds
Revenues and Expenses
2013-2014 Compared to Previous Years

<i>(in thousands)</i>	Actuals 2011/12	Forecast 2012/13	Budget 2013/14
REVENUES			
Manitoba Government	28,112	47,499	32,500
Federal Government	61,176	63,182	67,000
Foundations, Associations and Other	50,194	49,973	65,000
Total Revenue	139,482	160,654	164,500
EXPENSES			
Other operating Expenses	132,192	154,047	152,500
Total Expenses	132,192	154,047	152,500
Net Revenue Before interfund transfers	7,290	6,607	12,000
INTERFUND TRANSFERS			
	(16,995)	(5,806)	(7,626)
Net Revenue After Interfund Transfers	(9,705)	801	4,374

Capital Asset Fund – 2013-2014 Financial Plan

The Capital Asset Fund consists of restricted contributions from external parties for the purpose of acquiring capital assets and/or making debt repayments. The expenditures related to the construction of buildings or purchase of equipment are not recorded as an expense but are recorded as an asset on the University's balance sheet. Therefore, the Capital Fund will typically report a surplus unless current year amortization and interest/expense exceeds current year contributions.

Sources of capital funds include:

- Provincial allocations (primarily for deferred maintenance/infrastructure renewal) – see Attachment 1
- Donations through Philanthropy
- Operating funds (expenditure is reported as an interfund transfer to the Capital Fund)

- Canada Foundation for Innovation (CFI) funds and Provincial matching funding
- Provincial Territorial Base Funding
- Federal and Provincial Government programs eg. RINC, MRIF, etc.
- Provincial Government allocations for major capital projects (eg. Domino)
- Debt financing

Projected capital fund sources and the 2013-2014 capital plan are detailed in Table 3 below compared to preliminary 2012-2013. Specific projects and contracts in excess of \$1 million are subject to Board of Governors approval.

Table 3
Capital Spending Estimate
2013-2014 Fiscal Year

(in thousands)

<u>Capital Plan</u>	<u>Preliminary 2012/13</u>	<u>Forecast 2013/14</u>
Infrastructure:		
Asbestos	1,982	1,997
Fire Safety	1,550	3,198
Roofs	669	1,899
Windows	1,254	3,475
Other	4,372	575
Pembina Hall Residence Construction	894	30
Tache Hall Redevelopment	11,182	7,032
Capital Research Projects	9,966	11,100
Active Living Centre	4,160	24,914
Active Living Centre Tunnel	1,402	34
Frank Kennedy Locker Room Renovation	2,552	38
Tennis Courts	6	538
Security Upgrades (Outdoor Notification System)	130	245
Ellis Fumehood Upgrade	1,493	-
Chown Incinerator	157	451
Wallace Building Addition	7,806	400
Dafoe Learning Commons	4,499	196
Brodie Atrium Acoustic Treatment	725	60
PGME Curriculum Management	553	700
BMSB Theatre D Renovation	1,190	83
Pathology Ventilation System Upgrade	436	1,330
Cyclotron Space Renovation	719	281
Parker Lab 280 Renovation	1,001	-
Physical Plant Building-Addition	18	1,182
Stanley Pauley Centre	1,393	2,775
Chown Centre for Healthcare Innovation	10	498
Dentistry 348-Sam Borden Perio Renovation	-	200

Table 3
Capital Spending Estimate
2013-2014 Fiscal Year
(in thousands)

Brodie Centre Bistro Renovation	-	2,000
IST Data Centre	-	300
IST New Building	-	300
Bannatyne Electrical Reservicing	1,243	1,118
Parker Lab 290 Renovation	61	1,189
Kleysen Institute for Advanced Medicine	-	3,400
IKO Construction Materials Testing Facility	1	999
Wayfinding Strategy-Signage	-	1,000
BBB Stadium - Bison Locker Room	187	613
COPSE Miscellaneous Capital Funded Projects	2,573	3,020
Faculty & Unit Funded Projects	3,949	7,744
Research Capital	5,000	5,000
Operating Capital	30,000	30,000
	103,133	119,914

Capital Sources

COPSE	6,898	7,317
Provincial		
Domino (Tache)	11,182	1,779
Deferred Maintenance	3,194	3,541
PT Base Funding (Active Living Centre)	1,047	3,071
Manitoba Research Innovation Fund (MRIF)	4,933	5,500
LT Debt (Provincial Loan - Active Living Centre)	4,178	15,822
Federal		
WED	17	233
PT Base Funding (Active Living Centre)	2,094	5,641
CFI	4,933	5,500
Capital Debt (\$150 Million Bond Funding)	1,399	1,319
Capital Fund	18,866	17,076
Capital Trust	3,670	10,621
Operating	34,470	35,790
Research	5,000	5,000
Provisions	1,252	1,704
	103,133	119,914

2. Trust and Endowment – 2013-2014 Financial Plan

The Trust Fund records donations that may be used in their entirety, whereas the Endowment Fund records donations with the stipulation that the funds be used in perpetuity for the purpose designated by the donor.

The revenues of the Trust and Endowment Funds include the net investment income, earned by the investments of the UIT and Specific Trusts plus an estimate of the new donations received.

The expenses are transfers of allocations to the various units in accordance with the spending policy approved by the Board of Governors and as required by the units, plus awards paid directly to students.

Table 4 and 5 below include projected revenues and expenditures in 2013-2014 compared with preliminary results to March 31, 2013.

Table 4

Trust Fund

Revenues and Expenses

2013-2014 Compared to Previous Years

(in thousands)

	Actuals 2011/12	Forecast 2012/13	Budget 2013/14
REVENUES			
Other Revenue			
Gifts and Contributions	6,619	5,989	7,000
Investment	20,227	22,634	24,000
Miscellaneous		-	
Total Revenue	26,846	28,623	31,000
EXPENSES			
Other operating Expenses	17,007	17,171	18,000
Total Expenses	17,007	17,171	18,000
Net Revenue Before interfund transfers	9,839	11,452	13,000
INTERFUND TRANSFERS	1,465	(2,444)	5,231
Net Revenue After Interfund Transfers	11,304	9,008	18,231
Unrealized income no longer included as revenue	-	10,496	1,300

Table 5
Endowment Fund
Revenues and Expenses
2013-2014 Compared to Previous Years

(in thousands)

	Actuals 2011/12	Forecast 2012/13	Budget 2013/14
REVENUES			
Other Revenue			
Gifts and Contributions	13,256	10,531	15,000
Investment	(3,078)	-	-
Total Revenue	10,178	10,531	15,000
INTERFUND TRANSFERS			
	1,465	3,846	1,703
Net Revenue After Interfund Transfers	11,643	14,377	16,703
Unrealized income no longer included as revenue	-	24,490	3,000

SUMMARY

Attachment 6 is a high level Summary of the 2013-2014 Operating Budget plus financial plans for all other funds. The 2013-2014 budgets are compared with the 2012-2013 preliminary year end results at March 31, 2013. Throughout the 2013-2014 fiscal year, the Board of Governors will receive quarterly reports on each fund comparing actual for each quarter with prior year actual and projected full year results.

IMPLICATIONS:

The 2013-2014 operating budget recommendations are for an allocation or reallocation of funding totaling \$23,410,000. Of this total \$16,000,000 is allocated for salary increases (72.5% of which is in academic units). After reallocating \$4,826,000 to areas of strategic priority and other first claims including increased mandatory pension payments and UMFA travel and expense allocations, a shortfall of \$4,981,000 remains.

\$3.269M baseline plus \$1.751M fiscal only is directed to supporting the four priorities in the Strategic Planning Framework. An investment of \$1.557M baseline plus \$6M in fiscal only in organizational infrastructure is recommended. These allocations fall short of what is required to provide adequate support given decades of underinvestment in these areas.

ALTERNATIVES:

Various scenarios were considered with respect to balancing priorities related to the strategic planning framework and the need to address organizational infrastructure challenges as well as provide support to faculties and schools for new initiatives and pressing challenges. This proposed budget represents the recommended balance in addressing these needs.

CONSULTATION:

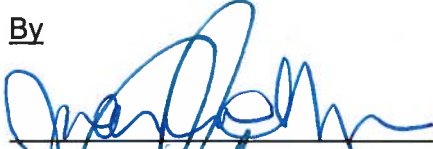
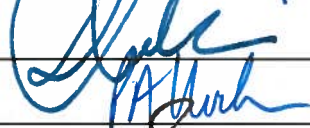


Meetings were held with all Deans, Directors and Heads of Colleges and Administrative units regarding budget requirements and to assess their ability to respond to a budget reduction of 3% to 5%. Three meetings were held with the President's Budget Advisory Committee to receive advice and feedback on priorities. Several meetings were held with all members of the President's Executive Team and Senior Administrative staff in the President's Office.



**UNIVERSITY
OF MANITOBA**

Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		May 2 / 13
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		May 2, 2013
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		May 2 / 13
<input type="checkbox"/>	<input checked="" type="checkbox"/>		May 6, 2013
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	FAHR	

Submission prepared by: Joanne Dyer, Director
Office of the Vice-President (Administration)
Kathleen Sobie, Senior Financial Planning Analyst

Submission approved by: Paul Kochan, Vice-President (Administration)
Joanne Keselman, Vice-President (Academic) & Provost

Appendices

- Attachment 1 – April 16, 2013 letter from COPSE re the operating grant increase*
- Attachment 2 – 2013-2014 Available Operating Budget Funding Summary*
- Attachment 3 – 2013-2014 Operating Budget Recommendations*
- Attachment 4 – 2013-2014 Projected Operating Revenues*
- Attachment 5 – 2013-2014 Operating Budget*
- Attachment 6 – Summary of the 2013-2014 Budget Plans for all Funds*

Council on Post-Secondary Education ❖ Conseil de l'enseignement postsecondaire

April 16, 2013

Ms. Janice Lederman
 Chair, Board of Governors
 The University of Manitoba
 Room 312 Administration Building
 Winnipeg MB R3T 2N2

Dr. David Barnard
 President and Vice-Chancellor
 The University of Manitoba
 Room 202 Administration Building
 Winnipeg MB R3T 2N2

Dear Ms. Lederman and Dr. Barnard:

I am now at liberty to formally share with you the funding decisions made for the 2013/14 fiscal year. This notice not only establishes the adjustment made to your base operating grant, but includes investments in capital and specific initiatives that are being funded over and above the grant.

Despite the serious challenges presented by the current fiscal environment, post-secondary education remains a major priority for Government. This fact is reflected in the overall support provided to the post-secondary system in 2013/14, which will see operating grants increase by \$18,812,000 from \$623,388,000 to \$642,200,000. Government will continue the System Restructuring Envelope, valued at \$400,000 as well as a new \$500,000 envelope for university strategic initiatives, including enhancing teaching quality. Further details on these strategic envelopes will follow in the coming months. As well, the Capital Envelope has been renewed with \$11,571,000 available for major capital, renovations and equipment across the system. Within the current fiscal context, these investments are significant and represent the ongoing commitment to the post-secondary sector.

The implications of this funding for your institution are outlined in the following table:

Government Support for University of Manitoba, 2013/14

	Increase	2013/14 Budget	% Change
Operating Grant			
Base	\$ 7,875,000	\$ 322,905,400	2.5%
First Claims (2013/14)		236,000	
Doctoral Program in Nursing	200,000		
Bilingual Undergraduate Medicine Stream	450,000		
Expansion of Master of Nursing – Nurse Practitioner Stream	800,000	1,450,000	0.5%
IEEQ Program (2013/14)		208,000	
ACCESS	109,400	4,485,000	2.5%
Capital Grants			
Asbestos/Mould Removal		1,000,000	
Fire Safety Non-Compliance		679,000	
Window Replacement Projects		1,000,000	
Bannatyne Electrical Re-Service Project		1,118,000	
Sewer System Upgrades and Backflow Prevention		500,000	
Equipment and Renovations		3,020,000	
Total Government Support 2013/14		\$ 336,601,400	

.../2

Ms Janice Lederman and Dr. David Barnard
Page 2

Please continue to provide actual billings for the principal and interest costs associated with deferred maintenance, Knowledge Infrastructure Program and Project Domino loans.

The permitted tuition fee increase for university programs in 2013/14 will be released on April 19, 2013.

In addition, Government has approved \$10 million for deferred maintenance projects at universities for 2013/14. Further details will be provided.

In closing, Council has asked me to reassure you that your needs have been faithfully transmitted to Government. Indeed, Council believes that the measures outlined above substantially address your needs and we look forward to working with you in the coming year to continue the process of building a sustainable post-secondary system for Manitoba.

Sincerely,



Dr. Curtis Nordman
Chair

c. Honourable Erin Selby
Gerald Farthing
Raymond Karasevich

Attachment 2 – 2013-2014 Available Operating Budget Funding Summary

2013-2014 Available Operating Budget Funding Summary

Increased Revenue:

2.5% COPSE Base Grant Increase	7,875,000
Regular Session Tuition Increase - Graduate	850,000
Regular Session Tuition Increase - Undergraduate	1,800,000
Differential Fees - Undergraduate	3,325,000
Increased Application and Ancillary Fee Revenues	500,000
Tuition Revenue Increase - 12/13 and 13/14 growth plus 1.6% inflation increase	6,475,000
Total New Revenue	14,350,000

Baseline Available for Reallocation:

Academic Position Management Process - Salary Turnover Savings	3,000,000
Access Copyright - based on 13/14 requirements	160,000
Central Operating Reserve - Unallocated Baseline from 12/13 (Contingency)	3,000,000
Insurance Premium Reallocation - based on trend analysis	900,000
Technology Fee - Redirect from Debt Servicing for current IT requirements	1,000,000
Utilities - Reallocation based on trend analysis	1,000,000
Total Available for Reallocation	9,060,000

Total Baseline Funds Available to Cover Increased Costs	23,410,000
--	-------------------

First Claims:

Mandatory Pension Payments - December 2012 Valuation	7,500,000
Salary Increase Requirements - Estimated (Scale, Step, Anomalies, Promotion Increments)	16,000,000
Travel and Expense Allowance Increase Requirements - Estimated	65,000
Total First Claims	23,565,000

Reallocations to Areas of Strategic Priority	4,826,000
---	------------------

Operating Budget Shortfall	(4,981,000)
-----------------------------------	--------------------

Attachment 3 – 2013-2014 Operating Budget Recommendations

Strategic Priority Area	Description	Baseline	Fiscal
Academic Enhancement	Academic Salary Support (Asper School of Business)	\$106,000	
Academic Enhancement	Academic Staff Development - Teaching and Learning Fund and Teaching Life Publication	65,000	
Academic Enhancement	Asper Executive Education marketing development		40,000
Academic Enhancement	Pharmacy (PharmD program 1.0 FTE Academic)	130,000	
Academic Enhancement	Research Bridge Funding		250,000
Academic Enhancement	Research Funding (Post Doc Support) - year 1 of 2 year commitment		500,000
Academic Enhancement	Research Funding - Institute for Plant Genomics 2.0 FTE Academic	200,000	
Academic Enhancement	Teaching and Learning Support (UTS)	300,000	
Academic Enhancement	Collaborative Clusters - Centre for Human Rights - year 2 of 2 year commitment	90,000	
Academic Enhancement	Collaborative Clusters - Health Sciences Research Enhancement (Clinical Trial Compliance and 0.5 FTE facilitator (Health Sciences)	125,000	
Academic Enhancement	Collaborative Clusters -Truth and Reconciliation Commission National Research Centre Contingency Fund	250,000	711,000
Academic Enhancement Total		1,266,000	1,501,000
Indigenous Achievement	Aboriginal Student Advisor (Student Services)	75,000	
Indigenous Achievement	Action Plan Support	75,000	
Indigenous Achievement	Community Indigenous Support – 1.0 FTE Other Academic (Kinesiology and Recreation Management)	90,000	
Indigenous Achievement	Indigenous Student Recruitment Officer (Enrolment Services)	77,000	
Indigenous Achievement	Indigenous Student Advisor (Arts)	61,000	
Indigenous Achievement Total		378,000	-
Institutional Infrastructure	1.0 FTE Campus Planner - Campus Planning Office	113,000	
Institutional Infrastructure	Office of Institutional Analysis - Data Support - Deans and Directors	119,000	
Institutional Infrastructure	Reasonable Accommodations Fund (Human Resources)	25,000	
Institutional Infrastructure	Information Services and Technology Infrastructure and Support	1,300,000	6,000,000
Institutional Infrastructure Total		1,557,000	6,000,000
Student Experience	Support for the identification of bona fide academic program requirements - 2.5 FTE project staff		250,000
Student Experience	Graduate Student Support	1,250,000	
Student Experience	STATIS case management (Student Services)	75,000	
Student Experience	Undergraduate Student Scholarships	300,000	
Student Experience Total		1,625,000	250,000
Grand Total		4,826,000	7,751,000

Attachment 4 – 2013-2014 Projected Operating Revenues

PROJECTED OPERATING SOURCES OF FUNDING - 2012-2013	April 1, 2012 Baseline	April 1, 2012 Fiscal Budget	April 1, 2013 Baseline	April 1, 2013 Fiscal Budget
1. Tuition and Other Related Student Fees				
-Credit Tuition	105,287,980	105,287,980	113,559,735	113,559,735
-Endowment Fees	2,027,386	2,027,386	2,458,222	2,458,222
-Incidental Fees - (Application, Student Services, Library, Registration, Technology)	9,933,436	9,933,436	10,508,772	10,508,772
-Other Fees (Equipment Lease/Sale/Field Trip)	2,318,727	2,318,727	2,575,988	2,575,988
-Non Degree - Student Affairs English Language Centre Programs	3,193,060	3,193,060	3,070,445	3,070,445
-Non Degree/Non Credit Courses - Extended Education Division	5,025,000	5,025,000	7,800,000	7,800,000
Total Student Fees	127,785,589	127,785,589	139,973,162	139,973,162
2. Other				
-Investment Income	4,203,000	4,203,000	4,835,000	4,835,000
- Soccer Complex Income	-	-	288,000	288,000
-International College of Manitoba	1,300,000	1,300,000	2,000,000	2,000,000
-Misc. Foundations, Gifts for Operating, Other Operating Grants and Contracts etc.	1,427,366	1,427,366	2,244,374	2,244,374
-Post Retirement Adjustment Reserve (Supports Retiree Benefits)	262,313	262,313	259,000	259,000
-External Sales and Service	29,812,553	29,812,553	29,782,561	29,782,561
-Ancillaries	36,461,083	36,461,083	37,393,061	37,393,061
Total Other Income	73,466,315	73,466,315	76,801,996	76,801,996
3. Province of Manitoba Government Grants and Contracts				
-COPSE Base Operating Grant	314,858,400	314,858,400	324,355,400	324,355,400
-COPSE First Claims	7,000	7,000	7,000	7,000
-COPSE Hearing Impaired student	-	100,000	-	-
-COPSE Engineer in Residence	-	83,565	-	83,565
-COPSE IEEQ (transferred to COPSE from other government departments)	-	-	208,000	208,000
-COPSE Manitoba Institute for Policy Research (not in base grant - fall allocation)	-	-	-	150,000
-COPSE Access Programs	4,375,600	4,375,600	4,485,000	4,485,000
Total COPSE Grants	319,241,000	319,424,565	329,055,400	329,288,965
- Other Provincial Support - Graduate Studies - Manitoba Graduate Scholarship	2,110,000	2,110,000	2,100,000	2,100,000
- Other Provincial Support - Kinesiology - Sport Manitoba/Children's Programs	145,500	145,500	137,500	137,500
- Other Provincial Support - Career Focus	-	-	4,800	4,800
- Other Provincial Support - Medicine - Department of Health	11,581,775	11,581,775	16,359,614	16,359,614
- Other Provincial Support - MILE	34,056	34,056	34,056	34,056
- Other Provincial Support - Playcare	135,000	135,000	145,000	145,000
- Other Provincial Support - Dentistry	113,700	113,700	54,318	54,318
Total Other Provincial Support	14,126,031	14,126,031	18,835,288	18,835,288
Total Province of Manitoba Government Grants and Contracts	333,367,031	333,550,596	347,890,688	348,124,253

Attachment 4 – 2013-2014 Projected Operating Revenues

PROJECTED OPERATING SOURCES OF FUNDING - 2012-2013	April 1, 2012 Baseline	April 1, 2012 Fiscal Budget	April 1, 2013 Baseline	April 1, 2013 Fiscal Budget
4. Federal Grants and Contracts				
- Federal Support - Indirect Costs of Research (includes hospital allocations)	8,034,771	8,034,771	7,629,019	7,629,019
- Other Federal Support - Summer Career Placement Program	4,560	4,560	10,400	10,400
- Other Federal Support - Graduate Studies	125,000	125,000	125,000	125,000
- Other Federal Support - Medicine	334,003	334,003	513,151	513,151
- Other Federal Support - Social Work	-	-	-	-
Total Federal Grants and Contracts	<u>8,498,334</u>	<u>8,498,334</u>	<u>8,277,570</u>	<u>8,277,570</u>
5. Total Operating Revenue (Excludes Fund Transfers and Internal Recoveries)	<u>543,117,269</u>	<u>543,300,834</u>	<u>572,943,416</u>	<u>573,176,981</u>
6. Fund Transfers and Internal Recoveries				
-Internal Cost Recoveries	16,696,612	16,696,612	16,614,921	16,614,921
-Interfund Transfers from Provisions (fiscal only allocations)	-	-	-	7,751,000
-Interfund Transfers from Research	600,000	600,000	-	-
-Interfund Transfers from Research - Overhead	2,664,000	2,664,000	2,626,000	2,626,000
-Interfund Transfers from Staff Benefits Fund	1,605,000	1,605,000	-	-
-Interfund Transfers from Trust and Endowment	6,758,000	6,758,000	1,505,340	1,505,340
-Intrafund Transfer - Smart Park Loan	-	-	1,004,100	1,004,100
-Intrafund Transfer - Patents and Licensing	149,500	149,500	150,000	150,000
-Intrafund Transfer - Ancillaries	1,162,984	1,162,984	1,162,984	1,162,984
Total Fund Transfers and Internal Recoveries	<u>29,636,096</u>	<u>29,636,096</u>	<u>23,063,345</u>	<u>30,814,345</u>
Total Gross Operating Revenues, Fund Transfers and Internal Recoveries -				
7. Operational Budget	<u>572,753,365</u>	<u>572,936,930</u>	<u>596,006,761</u>	<u>603,991,326</u>

Attachment 5 – 2013-2014 Operating Budget

UNIT/DEPARTMENT	Adjustments to Baseline Budget			Adjustments to Fiscal Budget		2013/14 Baseline Budget (gross)	2013/14 Fiscal Budget (gross)	2013/14 Offset Income (All Revenue)	2013/14 Net Baseline (less offset income)	2012/13 Baseline Budget (gross)	2012/13 Fiscal Budget (gross)
	Reduction	Allocation	COPSE	Allocation	COPSE						
ACADEMIC UNITS											
Agricultural & Food Sciences	(275,000)	-	-	-	-	15,991,367	15,991,367	2,099,905	13,891,462	15,600,839	15,600,839
Architecture	(135,000)	-	-	-	-	7,610,821	7,610,821	748,484	6,862,337	7,545,763	7,545,763
Art, School of	(100,000)	-	-	-	-	3,822,835	3,822,835	176,550	3,646,285	3,868,998	3,868,998
Arts	(750,000)	-	-	-	150,000	35,571,013	35,721,013	344,688	35,226,325	35,327,402	35,327,402
Clayton H. Riddell Faculty of Environment, Earth and Resources	(150,000)	-	-	-	-	8,002,181	8,002,181	407,999	7,594,182	7,569,038	7,569,038
Dentistry	(140,000)	-	-	-	-	19,238,879	19,238,879	9,524,754	9,714,125	18,386,977	18,386,977
Education	(145,000)	-	-	-	-	7,824,129	7,824,129	342,295	7,481,834	7,697,144	7,697,144
Engineering	(50,000)	-	-	-	83,565	18,299,900	18,383,465	1,500,160	16,799,740	17,080,692	17,164,257
Engineering - Access Programs	-	-	-	-	-	510,600	510,600	-	510,600	498,300	498,300
Extended Education	(350,000)	-	-	-	-	19,020,926	19,020,926	18,342,508	678,418	15,782,035	15,782,035
Extended Education - Access Programs	-	-	-	-	-	1,065,200	1,065,200	1,065,200	-	1,039,100	1,039,100
Graduate Studies - Operating	(90,000)	-	-	-	-	2,794,936	2,794,936	529,767	2,265,169	2,737,081	2,737,081
Graduate Studies - Graduate Student Support	-	-	-	-	-	9,691,953	9,691,953	2,117,300	7,574,653	9,439,428	9,439,428
Human Ecology	(90,000)	-	-	-	-	4,380,913	4,380,913	53,226	4,327,687	4,419,445	4,419,445
I.H. Asper School of Business	(30,000)	-	-	-	-	14,652,829	14,652,829	3,115,196	11,537,633	14,521,272	14,521,272
Kinesiology & Recreation Management - Academic Programs	(5,000)	-	-	-	-	3,286,607	3,286,607	103,200	3,183,407	3,283,981	3,283,981
Kinesiology and Recr. Mgmt - Bison Sport & Active Living	(45,000)	-	-	-	-	8,423,129	8,423,129	6,645,310	1,777,819	8,242,125	8,242,125
Law	(71,000)	-	-	-	-	5,150,432	5,150,432	1,476,530	3,673,902	4,566,728	4,566,728
Medicine	(300,000)	-	450,000	-	-	67,197,942	67,197,942	22,372,671	44,825,271	59,450,390	59,450,390
Music	(76,000)	-	-	-	-	4,927,635	4,927,635	945,471	3,982,164	4,897,619	4,897,619
Nursing	(170,000)	-	1,200,000	-	-	11,270,664	11,270,664	146,183	11,124,501	10,035,038	10,035,038
Nursing - Access Program	-	-	-	-	-	581,200	581,200	581,200	-	566,900	566,900
Pharmacy	(10,000)	-	-	-	-	4,482,584	4,482,584	399,032	4,083,532	4,315,830	4,315,830
Science	(516,000)	-	-	-	-	29,984,777	29,984,777	1,542,484	28,442,293	30,165,565	30,165,565
Social Work	(80,000)	-	-	-	-	4,325,273	4,325,273	879,228	3,446,047	4,050,286	4,050,286
Social Work - Access Programs	-	-	-	-	-	2,328,000	2,328,000	2,328,000	-	2,271,300	2,271,300
TOTAL ACADEMIC UNITS	(3,578,000)	-	1,650,000	-	233,565	310,436,706	310,670,271	78,297,920	232,138,788	293,357,272	293,440,837
LIBRARIES											
Libraries - Operating	-	-	-	-	-	16,779,905	16,779,905	651,760	16,128,145	17,270,334	17,270,334
Libraries - Acquisitions	(350,000)	-	-	-	-	8,756,346	8,756,346	14,365	8,741,981	9,124,031	9,124,031
TOTAL LIBRARIES	(350,000)	-	-	-	-	25,536,251	25,536,251	666,125	24,870,126	26,394,365	26,394,365
COLLEGES											
St. Johns College	-	-	-	-	-	497,770	497,770	-	497,770	548,620	548,620
St. Pauls College	-	-	-	-	-	559,589	559,589	11,031	548,558	474,804	474,804
University College	(9,000)	-	-	-	-	199,462	199,462	18,900	180,562	208,662	208,662
TOTAL COLLEGES	(9,000)	-	-	-	-	1,256,821	1,256,821	29,931	1,226,800	1,232,086	1,232,086
ADMINISTRATIVE UNITS - PRESIDENT											
Presidents Office	(40,000)	-	-	-	-	1,062,275	1,062,275	-	1,062,275	1,033,391	1,033,391
University Secretariat	(15,000)	-	-	-	-	639,549	639,549	-	639,549	617,383	617,383
TOTAL PRESIDENT UNITS	(55,000)	-	-	-	-	1,701,824	1,701,824	-	1,701,824	1,650,774	1,650,774
ADMINISTRATIVE UNITS - V.P. (ACADEMIC) & PROVOST											
Vice-President (Academic) & Provost, Office of	(60,000)	-	-	250,000	-	1,987,215	2,237,215	-	1,987,215	1,949,768	1,949,768
Academic Staff Development	-	-	-	-	-	80,000	80,000	-	80,000	80,000	80,000
IEPCP - Health	-	-	-	-	-	102,580	102,580	-	102,580	99,800	99,800
Indigenous Achievement	-	-	-	-	-	281,595	281,595	-	281,595	281,595	281,595
Institutional Analysis	-	119,000	-	-	-	1,064,544	1,064,544	-	1,064,544	908,191	908,191
Mosaic	(2,000)	-	-	-	-	201,934	201,934	80,000	121,934	201,917	201,917

Attachment 5 – 2013-2014 Operating Budget

UNIT/DEPARTMENT	Adjustments to Baseline Budget			Adjustments to Fiscal Budget		2013/14 Baseline Budget (gross)	2013/14 Fiscal Budget (gross)	2013/14 Offset Income (All Revenue)	2013/14 Net Baseline (less offset income)	2012/13 Baseline Budget (gross)	2012/13 Fiscal Budget (gross)
	Reduction	Allocation	COPSE	Allocation	COPSE						
ADMINISTRATIVE UNITS - V.P. (ACADEMIC) & PROVOST											
Student Affairs	(223,800)	-	-	-	-	20,930,133	20,930,133	6,099,300	14,830,833	20,468,911	20,568,911
University of Manitoba Press	(2,000)	-	-	-	-	441,377	441,377	325,000	116,377	464,787	464,787
University Teaching Service	-	-	-	-	-	751,344	751,344	-	751,344	738,514	738,514
TOTAL V.P. (ACADEMIC) & PROVOST UNITS	(287,800)	119,000	-	250,000	-	25,840,702	26,090,702	6,504,300	19,336,402	25,193,483	25,293,483
ADMINISTRATIVE UNITS - VICE-PRESIDENT (RESEARCH) & INTERNATIONAL											
Vice President (Research), Office of	(50,000)	-	-	-	-	1,294,402	1,294,402	4,000	1,290,402	1,219,462	1,219,462
Animal Care	-	-	-	-	-	777,964	777,964	419,573	358,391	751,545	751,545
Centre on Aging	(2,000)	-	-	-	-	253,748	253,748	63,300	190,448	255,218	255,218
Indirect Costs of Research Budget Only Allocations	-	-	-	-	-	4,106,406	4,106,406	4,106,406	-	4,468,424	4,468,424
International Relations	(10,000)	-	-	-	-	474,562	474,562	1,000	473,562	497,823	497,823
Manitoba Institute of Materials	-	-	-	-	-	75,167	75,167	6,250	68,917	-	-
Research Development	-	-	-	-	-	3,060,078	3,060,078	1,540,000	1,520,078	3,028,299	3,028,299
Research Data Centre	(2,000)	-	-	-	-	147,000	147,000	500	146,500	158,500	158,500
Research Services and Programs	(12,000)	-	-	-	-	1,628,244	1,628,244	1,053,560	574,684	1,575,943	1,575,943
RESOLVE	(500)	-	-	-	-	128,187	128,187	93,000	35,187	128,687	128,687
Richardson Centre Functional Foods	(1,500)	-	-	-	-	478,299	478,299	409,540	68,759	474,259	474,259
Technology Transfer	(9,000)	-	-	-	-	775,516	775,516	485,300	290,216	774,231	774,231
TOTAL V.P. (RESEARCH) UNITS	(87,000)	-	-	-	-	13,199,573	13,199,573	8,182,429	5,017,144	13,330,391	13,330,391
ADMINISTRATIVE UNITS - V.P. (ADMINISTRATION)											
Vice-President (Administration), Office of	(50,000)	-	-	-	-	1,357,898	1,357,898	1,213,000	144,898	1,384,259	1,384,259
Ancillary Services	-	-	-	-	-	37,393,061	37,393,061	37,393,061	-	36,606,004	36,606,004
Aramark Custodial Service	-	-	-	-	-	8,688,417	8,688,417	861,446	7,826,971	8,411,060	8,411,060
Audit Services	-	-	-	-	-	484,050	484,050	-	484,050	388,643	388,643
Campus Planning Office	-	113,000	-	-	-	548,536	548,536	-	548,536	424,385	424,385
Continuous Improvement	-	-	-	-	-	621,744	621,744	-	621,744	585,601	585,601
Fair Practice and Legal Affairs	-	-	-	-	-	1,293,472	1,293,472	75,200	1,218,272	1,213,301	1,213,301
Legal Services (External)	-	-	-	-	-	647,190	647,190	-	647,190	297,190	297,190
Financial Services	-	-	-	-	-	6,205,636	6,205,636	402,433	5,803,203	6,260,438	6,260,438
Human Resources	-	25,000	-	-	-	6,831,648	6,831,648	1,431,654	5,399,994	6,113,857	6,113,857
Information Services and Technology	-	1,300,000	-	6,000,000	-	23,064,318	29,064,318	555,704	22,508,614	18,821,256	19,821,256
Information Services and Technology - Telecommunications	-	-	-	-	-	3,169,015	3,169,015	3,169,015	-	3,469,015	3,469,015
Physical Plant	(310,000)	-	-	-	-	22,701,027	22,701,027	6,771,012	15,930,015	21,940,444	21,940,444
Physical Plant Utilities	-	-	-	-	-	14,113,226	14,113,226	3,568,226	10,545,000	14,982,000	14,982,000
Risk Management	(110,000)	-	-	-	-	3,033,447	3,033,447	78,000	2,955,447	247,429	247,429
Security Services	-	-	-	-	-	-	-	-	-	2,775,536	2,775,536
Student Life Programming	-	-	-	-	-	-	-	-	-	-	-
Sustainability Office	-	-	-	-	-	146,753	146,753	-	146,753	-	-
Treasury Services	(17,994)	-	-	-	-	437,900	437,900	437,900	-	507,829	507,829
University Centre	(2,939)	-	-	-	-	585,510	585,510	408,378	177,132	579,148	579,148
University Centre Pharmacy Mile Program	(1,000)	-	-	-	-	94,063	94,063	64,039	30,024	95,064	95,064
TOTAL V.P. (ADMINISTRATION) UNITS	(491,933)	1,438,000	-	6,000,000	-	131,416,910	137,416,910	56,429,068	74,987,843	125,102,459	126,102,459
ADMINISTRATIVE UNITS - VP (EXTERNAL)											
VP (External)	(25,000)	-	-	-	-	788,134	788,134	73,000	715,134	783,894	783,894
External Relations Bannatyne	(500)	-	-	-	-	23,925	23,925	-	23,925	24,425	24,425
Alumni	-	-	-	-	-	858,574	858,574	-	858,574	858,574	858,574
Philanthropy	-	-	-	-	-	4,334,490	4,334,490	1,025,000	3,309,490	3,655,542	3,655,542
Government and Community Engagement	(10,787)	-	-	-	-	556,958	556,958	-	556,958	548,167	548,167
Marketing and Communications	(86,000)	-	-	-	-	4,480,005	4,480,005	33,500	4,446,505	4,430,418	4,430,418
TOTAL V.P. (EXTERNAL) UNITS	(122,267)	-	-	-	-	11,042,086	11,042,086	1,131,500	9,910,586	10,301,020	10,301,020

Attachment 5 – 2013-2014 Operating Budget

UNIT/DEPARTMENT	Adjustments to Baseline Budget			Adjustments to Fiscal Budget		2013/14 Baseline Budget (gross)	2013/14 Fiscal Budget (gross)	2013/14 Offset Income (All Revenue)	2013/14 Net Baseline (less offset income)	2012/13 Baseline Budget (gross)	2012/13 Fiscal Budget (gross)
	Reduction	Allocation	COPSE	Allocation	COPSE						
GENERAL UNIVERSITY EXPENDITURES											
Access Copyright	-	-	-	-	-	767,106	767,106	-	767,106	239,000	239,000
Bad Debts	-	-	-	-	-	310,000	310,000	-	310,000	10,000	10,000
Barnalyne Transit Agreement	-	-	-	-	-	196,000	196,000	-	196,000	196,000	196,000
Campus Art Conservation/Acquisition	-	-	-	-	-	100,000	100,000	-	100,000	-	-
Commissions	-	-	-	-	-	233,718	233,718	233,718	-	247,000	247,000
Employee Assistance Program	-	-	-	-	-	271,000	271,000	-	271,000	303,500	303,500
Endowment Fee Interfund Transfers (to Trust/Endowment)	-	-	-	-	-	1,703,445	1,703,445	-	1,703,445	1,581,783	1,581,783
Endowment Fee Transfers (within Operating)	-	-	-	-	-	1,345,484	1,345,484	-	1,345,484	1,058,617	1,058,617
GU User Access Fees (concur)	-	-	-	-	-	207,000	207,000	-	207,000	165,000	165,000
Institutional Fees and Memberships	-	-	-	-	-	500,000	500,000	-	500,000	500,000	500,000
Insurance	-	-	-	-	-	2,529,329	2,529,329	-	2,529,329	3,429,329	3,429,329
MB Schools Science Symposium	-	-	-	-	-	30,000	30,000	-	30,000	30,000	30,000
Outreach	-	-	-	-	-	25,000	25,000	-	25,000	25,000	25,000
Pension Plan Mandatory Payments	-	-	-	-	-	19,570,000	19,570,000	-	19,570,000	12,070,000	12,070,000
Property Tax	-	-	-	-	-	1,000,000	1,000,000	-	1,000,000	1,000,000	1,000,000
Provincial Debt Servicing	-	-	-	-	-	4,187,855	4,187,855	1,292,100	2,895,755	4,260,721	4,260,721
Rentals	-	-	-	-	-	244,524	244,524	-	244,524	244,524	244,524
Retiree Benefits	-	-	-	-	-	2,835,405	2,835,405	259,000	2,576,405	2,797,006	2,797,006
Soccer Complex	-	-	-	-	-	-	-	-	-	288,000	288,000
Special Programming	-	-	-	-	-	138,000	138,000	-	138,000	134,205	134,205
Workers Compensation	-	-	-	-	-	300,997	300,997	-	300,997	300,997	300,997
TOTAL GENERAL UNIVERSITY EXPENDITURES	-	-	-	-	-	36,494,863	36,494,863	1,784,818	34,710,045	28,880,682	28,880,682
UNDISTRIBUTED OPERATING FUNDS											
Academic Position Management Process (APMP)	-	-	-	-	-	124,663	124,663	-	124,663	401,830	401,830
Central Operating Reserve	-	-	-	-	-	24,341,310	24,341,310	-	24,341,310	27,551,384	26,451,384
Collaborative Clusters	-	465,000	-	711,000	-	730,769	1,441,769	-	730,769	920,000	1,020,000
Emergency Reserve - Insurance	-	-	-	-	-	300,000	300,000	-	300,000	300,000	300,000
Emergency Reserve - V.P. (Academic) & Provost	-	-	-	-	-	547,000	547,000	-	547,000	547,000	547,000
Emergency Reserve - V.P. (Administration)	-	-	-	-	-	152,980	152,980	-	152,980	152,980	152,980
Emergency Reserve - V.P. (External)	-	-	-	-	-	37,000	37,000	-	37,000	-	-
Emergency Reserve - V.P. (Research)	-	-	-	-	-	37,000	37,000	-	37,000	37,000	37,000
Externally Funded Research Chairs	-	-	-	-	-	945,632	945,632	-	945,632	1,210,787	1,210,787
Faculty Share of Overhead Income	-	-	-	-	-	1,790,000	1,790,000	1,790,000	-	1,500,000	1,500,000
ICM Reserve - to Units and Capital (Learning Commons)	-	-	-	-	-	2,000,000	2,000,000	-	2,000,000	1,300,000	1,300,000
Fund Transfers In	-	-	-	-	-	-	-	-	-	-	-
Staff Benefits Funds - GWL recoveries	-	-	-	-	-	-	-	-	-	1,605,000	1,605,000
Trust and Endowment (unit spending)	-	-	-	-	-	-	-	-	-	5,894,000	5,894,000
Research and Special Funds (unit spending)	-	-	-	-	-	-	-	-	-	600,000	600,000
International Student Recruitment Agents Fees	-	-	-	-	-	150,000	150,000	-	150,000	100,000	100,000
International Student Support - Unit projects and IAPD Seed Funds	-	-	-	-	-	439,590	439,590	-	439,590	439,590	439,590
Planning Framework Priorities - Employer of Choice	-	-	-	-	-	492,269	492,269	-	492,269	600,000	600,000
Planning Framework Priorities - Indigenous Achievement	-	378,000	-	-	-	378,000	378,000	-	378,000	-	-
Planning Framework Priorities - Student Experience	-	1,625,000	-	-	-	1,741,819	1,741,819	-	1,741,819	573,457	573,457
Planning Framework Priorities - Academic Enhancement	-	801,000	-	790,000	-	1,363,146	2,153,146	-	1,363,146	647,805	647,805
Spousal Appointment Funding	-	-	-	-	-	400,000	400,000	-	400,000	400,000	400,000
Travel & Conference Sponsorship Program	-	-	-	-	-	30,000	30,000	-	30,000	30,000	30,000
Tuition Fee Sharing Reserve	-	-	-	-	-	3,079,828	3,079,828	-	3,079,828	2,500,000	2,500,000
TOTAL UNDISTRIBUTED OPERATING FUNDS	-	3,269,000	-	1,501,000	-	39,081,026	40,582,026	1,790,000	37,291,026	47,310,833	46,310,833
TOTAL OPERATING BUDGET (Includes Fund Transfers & Cost Recoveries)	(4,981,000)	4,826,000	1,650,000	7,751,000	233,565	596,006,761	603,991,326	154,816,090	441,190,671	572,753,365	572,936,930
LESS INTERNAL COST RECOVERIES AND INTERFUND TRANSFERS											
Internal Cost Recoveries	-	-	-	-	-	(17,619,022)	(17,619,022)	(17,619,021)	-	(16,696,612)	(16,696,612)
Interfund and Intrafund Transfers	-	-	-	-	-	(5,444,323)	(13,195,323)	(5,444,323)	-	(12,939,484)	(12,939,484)
TOTAL COST RECOVERIES AND TRANSFERS	-	-	-	-	-	(23,063,345)	(30,814,345)	(23,063,344)	-	(29,636,096)	(29,636,096)
NET OPERATING BUDGET (Excluding Cost Recoveries & Fund Transfers)	(4,981,000)	4,826,000	1,650,000	7,751,000	233,565	572,943,416	573,176,981	131,752,746	441,190,671	543,117,269	543,300,834

Attachment 6 – Summary of the 2013-2014 Budget Plans for all Funds

The University of Manitoba
Summary Budget Plans for All Funds
For the Year Ended March 31, 2014 (in thousands)

	Actuals	Forecast	Preliminary Budget
	2011/12	2012/13	2013/14
General Operating Fund			
Revenue	547,081	561,116	573,177
Expense and Fund Transfers	547,067	561,116	573,177
Net	14	-	-
Specific Provisions Fund			
Revenue	-	-	-
Expense and Fund Transfers	(1,971)	(646)	(554)
Net	1,971	646	554
Expenses funded from Future Revenues			
Revenue	-	-	-
Expense and Fund Transfers	1,537	-	-
Net	(1,537)	-	-
Capital Asset			
Revenue	65,974	58,043	46,989
Expense and Fund Transfers	(23,805)	11,929	21,092
Net	89,779	46,114	25,897
Research and Special			
Revenue	139,482	160,654	164,500
Expense and Fund Transfers	149,187	159,853	160,126
Net	(9,705)	801	4,374
Staff Benefits			
Revenue	4,493	5,446	4,913
Expense and Fund Transfers	3,595	1,936	3,586
Net	898	3,510	1,327
Trust			
Revenue	26,846	28,623	31,000
Expense and Fund Transfers	15,542	19,615	12,769
Net	11,304	9,008	18,231
Endowment			
Revenue	10,178	10,531	15,000
Expense and Fund Transfers	(1,465)	(3,846)	(1,703)
Net	11,643	14,377	16,703
Total			
Revenue	794,054	824,413	836,583
Expense and Fund Transfers	689,687	749,957	769,497
Net	104,367	74,456	67,086



AGENDA ITEM: *Increase to UMSU Operating Fee & Endowment Fund Fee*

RECOMMENDED RESOLUTION:

*Increase the UMSU Operating Fee by \$2.50 / semester to \$23.50 / semester.
Increase the UMSU Scholarship & Bursary and Endowment Fund Fee by \$1.50 / semester to \$16.50 / semester. Both increases to be effective for fall 2013 registration.*

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

As per the UMSU Act and as reflected in our bylaws, UMSU Council may provide (subject to the approval of the Board of Governors of the University) for the amount of annual membership fees to be paid by members of the corporation and the amount of any assessment to be paid by any class or classes of students which have been exempted from membership in the corporation pursuant to subsection 6(1) – Membership.

On April 11, 2013, during a regularly scheduled meeting, UMSU Council voted to approve an increase in the UMSU operating fee by \$2.50 per semester, increasing the current membership fee from \$21 per semester to \$23.50 per semester.

The approved motion regarding the UMSU Operating Fee is as follows:

WHEREAS the UMSU Operating Fee is the most consistent, predictable, reliable, and primary source of revenue for the Union; and,

WHEREAS the UMSU Operating Fee has not increased since 2006; and,

WHEREAS UMSU is a non-profit organization that generally operates at a break even; and,

WHEREAS there are no funds available to add or expand programs and services; and,

WHEREAS the cost of operating services and businesses increase annually; and

WHEREAS student enrollment is projected by the University to plateau and decrease in the upcoming years, resulting in a decrease in revenue to the UMSU Operating Budget; and,

WHEREAS in order to sustain current operations, and grow as an effective lobby organization and student service provider, UMSU would greatly benefit from an

increase in the Operating Fee; therefore,

BE IT RESOLVED that UMSU Council approve an increase in the Operating Fee by \$2.50 per semester; and,

BE IT FURTHER RESOLVED that the total amount received from the increase be put into the Retained Earnings line until UMSU Council approves otherwise.

Also, during this regularly scheduled meeting of UMSU Council, a separate motion was approved, which asks for an increase of \$1.50 per semester for the UMSU Scholarship & Bursary and Endowment Fund.

The approved motion regarding the UMSU Endowment Fund fee is as follows:

WHEREAS the UMSU Endowment Fund is currently held within a Guaranteed Investment Certificate that began in 2008 and ends in the fall of 2013; and,

WHEREAS the interest rate which the Endowment Fund received over the last 5 years is 5.15%, and is estimated to decrease by half; and,

WHEREAS the new interest rate could result in a \$90,000 decrease in funds per year to the Endowment Fund; and,

WHEREAS an increase of \$1.50 per semester could result in an increase of to the Fund of ~\$75,000 per year; therefore,

BE IT RESOLVED that UMSU Council approves a \$1.50 per semester fee increase to the Scholarship and Endowment Fund.

The increases in the UMSU Operating Fee and the UMSU Scholarship & Bursary and Endowment Fund Fee are to apply to all undergraduate students who are members of UMSU and shall be effective for the fall 2013 registration.

RESOURCE REQUIREMENTS:

Other than those required to implement the change in the University accounting systems, none. The increase in fees is to be entirely paid for by students.

CONNECTION TO THE UNIVERSITY PLANNING FRAMEWORK:

UMSU believes that increasing these two fees will allow UMSU to expand the services we currently provide to students. As a result, they will increase our ability to support and sustain the student experience on campus.

IMPLICATIONS:

UMSU has fulfilled all legal/procedural requirements under the UMSU Act and our Bylaws in order to propose these fee increases to the Board of Governors. We do not anticipate any negative implications for either UMSU or the institution.

ALTERNATIVES:

UMSU Council and the Umsu Finance Committee did review the possibility of staying with the fees we currently charge, but the financial implications of that choice were seen as undesirable.

CONSULTATION:

UMSU Council and the Finance Committee of Umsu Council both reviewed this proposal. A call for feedback was done via e-mail with regards to the Umsu Endowment Fund fee. The proposal for the two fee increases was brought forward to most of the Student Councils for their feedback and support.



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Finance Committee, UMSU	April 8 th , 2013
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UMSU Council	April 11 th , 2013
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	FAHR	May 1, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Submission prepared by:

Executive Director, UMSU

Submission approved by:

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

AGENDA ITEM: *Responsible Conduct of Research Policy*

RECOMMENDED RESOLUTION:

The Board of Governors approves the policy on Responsible Conduct of Research, and the related policy, Code of Research Ethics.

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

The proposed policy on the Responsible Conduct of Research is a major re-write of the University's existing policy on Academic Fraud. The review of our policies was sparked by the requirements of the Tri-Agencies (NSERC, SSHRC, and CIHR), which are the University's largest funders of research. The Tri-Agencies established a Panel on the Responsible Conduct of Research, supported by a Secretariat, which undertook an extensive study and consultation on research ethics. Among the results of this work is a document known as the Tri-Agency Framework: Responsible Conduct of Research. In order to continue to be eligible to receive funds from any of the Tri-Agencies, institutions are required to follow the Framework and to produce policies on research ethics which comply with the Framework. The Framework is fairly prescriptive, and significantly influenced the drafting of the new proposed policy. The Tri-Agencies set a timeline for institutions to adopt a compliant policy, and our school received an extension allowing us until "early 2013" to get our policy in place.

Attached to this submission are three documents:

- 1. Policy on Responsible Conduct of Research – for approval*
- 2. Investigation Procedures – for information*
- 3. Code of Research Ethics (policy) – for approval upon recommendation from Senate*

RESOURCE REQUIREMENTS:

The primary resource implication is the requirement from the office of the Vice-President (Research & International) to educate the University community on the new policy, and research ethics in general. This work was already underway prior to the development of this draft policy, and will not require any additional resources.



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Senate Com. University Research March 27, 2013	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	FAHR	May 1, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Submission prepared by:

Greg Juliano

Submission approved by:

This must be the President, a Vice-President, or the University Secretary.

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

Attached to this submission are three documents:

- 1. Policy on Responsible Conduct of Research – for approval*
- 2. Investigation Procedures – for information*
- 3. Code of Research Ethics (policy) – for approval upon recommendation from Senate*

UNIVERSITY OF MANITOBA
POLICY

Policy:	Responsible Conduct of Research
Effective Date:	
Revised Date:	
Review Date:	
Approving Body:	Board of Governors
Authority:	University of Manitoba Act Section # 16(1) and The Tri-Agency Framework: Responsible Conduct of Research
Responsible Executive Officer:	President, delegated to Vice-President (Research & International)
Contact:	Vice-President (Research & International)
Application:	Students, Employees and Researchers

Part I
Reason for Policy

- 1.1 The University of Manitoba (the “University”) wishes to ensure the highest standards of integrity in all Research (as defined below) associated with the institution.

Part II
Policy Content

Definitions

- 2.1 The following terms have the following defined meanings for the purpose of this Policy and its Procedures.
- (a) **“Breach”** means conduct, behaviour, actions or omissions which are inconsistent with or violate the Code of Research Ethics. Innocent errors and oversights may constitute a Breach, but intention will be considered in regard to any penalty, discipline or other measures taken following an Investigation.
 - (b) **“Code”** means the Code of Research Ethics applicable to Researchers, and adopted as a related Policy.
 - (c) **“Designated Officer”** means an employee of the University designated to be the single central point of contact for receipt of Disclosures, and managing Investigations.
 - (d) **“Disclosure”** means an allegation or complaint that the Code of Research Ethics has been or is likely to be Breached.
 - (e) **“Funding Agency”** means a government agency, foundation, private or corporate

sponsor of Research at the University, including the Tri-Council agencies: Canadian Institutes of Health Research (CIHR), Natural Sciences and Engineering Research Council of Canada (NSERC), and Social Sciences and Humanities Research Council of Canada (SSHRC).

- (f) **“Investigation”** means an investigation into an alleged Breach, in accordance with the Procedures adopted under this Policy.
- (g) **“Research”** means research, scholarship and creative works, whether funded or not, which are associated with or undertaken under the auspices of the University, and in particular:
 - i. an undertaking intended to create or extend knowledge through a disciplined inquiry or systematic investigation;
 - ii. the systematic acquisition of knowledge through disciplined inquiry, or the dissemination of such knowledge through any means or medium; and
 - iii. an undertaking intended to result in creative works and activities.

“Research” is not intended to include the routine development of teaching materials or administrative duties.

- (h) **“Researcher”** means any individual associated with the University who engages in or supports Research, including faculty, staff, students, post-doctoral fellows, research associates, research assistants, laboratory assistants, visiting researchers, and anyone holding an academic appointment with the University (including nil-salary appointments and adjuncts).

2.2 The objectives of this Policy are:

- (a) to ensure that all Research associated with the University meets the highest standards of integrity;
- (b) to define for the University’s Researchers the institution’s expectations for the responsible conduct of Research;
- (c) to ensure Funding Agencies have confidence in Research at the University, and have accurate and reliable information for their funding decisions;
- (d) to ensure public and private funds allocated to Research are spent responsibly; and
- (e) to provide a fair and thorough investigation process into allegations that Research has not been conducted with integrity.

2.3 In furtherance of these objectives, the University will:

- (a) define expectations regarding the responsible conduct of Research through the adoption of a Code of Research Ethics;
- (b) through the office of the Vice-President (Research & International), educate Researchers regarding this Policy, the Code and the responsible conduct of Research generally;

- (c) adopt Procedures which encourage Disclosures to be made, provide for a fair and thorough Investigation, and protect individuals involved in such an Investigation; and
 - (d) where required or desirable, report the results of Investigations to Funding Agencies.
- 2.4 Any person who is found to have caused or contributed to a Breach may be disciplined or dismissed, as may be appropriate in the circumstances.
- 2.5 Following a Breach, the University shall take all other action it deems reasonably necessary to remedy a Breach and restore integrity to Research at the University.
- 2.6 The University desires to protect integrity in Research by encouraging legitimate Disclosures and the participation of required members of the University community. As a result, all persons to which this policy applies, whether or not Researchers themselves:
- (a) must disclose any credible evidence of a Breach, about which they become aware; and
 - (b) must provide reasonable cooperation in the Investigation of a Breach.
- 2.7 Where this Policy or its Procedures conflict with the provisions of a collective agreement, the collective agreement will prevail.

Part III Accountability

- 3.1 The Office of Legal Counsel is responsible for advising the President, delegated to Vice-President (Research & International), that a formal review of this Policy is required.
- 3.2 The President, delegated to the Vice-President (Research & International), is responsible for the communication, administration and interpretation of this Policy.
- 3.3 All Researchers are responsible for complying with this Policy.

Part IV Authority to Approve Procedures

- 4.1 The Board of Governors (where appropriate upon the recommendation of the Senate) may approve related Policies and Procedures which are secondary to and comply with this Policy, which will include, but not be limited to:
- (a) a Code of Research Ethics.
- 4.2 The President may approve Procedures which are secondary to and comply with this Policy, which will include, but not be limited to:
- (a) the appointment of a Designated Officer;
 - (b) receiving and reviewing Disclosures;

- (c) conducting Investigations in accordance with the principles of procedural fairness and natural justice;
- (d) respecting the confidentiality of information collected in relation to Disclosures and Investigations;
- (e) protecting persons involved in Disclosures against reprisal;
- (f) protecting Researchers in regard to unfounded allegations of a Breach;
- (g) producing a Report at the conclusion of an Investigation;
- (h) implementing discipline, if necessary;
- (i) advising persons involved in an Investigation, Funding Agencies and others as to the results of an Investigation; and
- (j) generally defining the responsibility, authority and accountability of members of the University community under the Policy.

Part V Review

- 5.1 Governing Document reviews shall be conducted every ten (10) years. The next scheduled review date for this Policy is ____.
- 5.2 In the interim, this Policy may be revised or rescinded if:
- (a) the Approving Body deems necessary or desirable to do so; or
 - (b) the Policy is no longer legislatively or statutorily complaint; and/or
 - (c) the Policy is now in conflict with another Governing Document.

Part VI Effect on Previous Statements

- 6.1 This Policy supersedes the following:
- (a) University of Manitoba Policy on Academic Fraud;
 - (b) Guidelines on Responsibilities for Research Ethics;
 - (c) all previous Board/Senate Policies, Procedures, and resolutions on the subject matter contained herein; and
 - (d) all previous Administration Governing Documents, and directives on the subject matter contained herein.

Part VII
Cross References

7.1 This Policy should be crossed referenced to the following relevant Governing Documents, legislation and/or forms:

- (a) Conflict of Interest Policy;
- (b) Student Discipline By-law; and
- (c) Collective Agreements (various).

**UNIVERSITY OF MANITOBA
PROCEDURE**

Procedure:	Responsible Conduct of Research – Investigation Procedures
Parent Policy:	Responsible Conduct of Research
Effective Date:	
Revised Date:	
Review Date:	
Approving Body:	President
Authority:	Responsible Conduct of Research Policy
Responsible Executive Officer:	President, delegated to Vice-President (Research & International)
Contact:	Vice-President (Research & International)
Application:	Students, Employees and Researchers

**Part I
Reason for Procedure**

- 1.1 These Procedures are intended to detail how the University will manage Disclosures and Investigate allegations under *Responsible Conduct of Research Policy*.

**Part II
Procedural Content**

Definitions

- 2.1 All terms defined in the Policy have the same meaning in these Procedures.
- (a) **“Chair”** means the Chair of the Investigation Committee.
 - (b) **“Committee”** means the Investigation Committee appointed by the Designated Officer as contemplated by subsections 2.20 to 2.24 of these Procedures.
 - (c) **“Initial Review”** means the Initial Review of a Disclosure contemplated by subsections 2.14 to 2.19 of these Procedures.
 - (d) **“Person”** means any person seeking advice about making a Disclosure, or making a Disclosure, including:
 - i. any member of the University community, including Researchers;
 - ii. representatives of Funding Agencies; and

- iii. members of the general public.
- (e) **“Reprisal”** means any of the following measures, taken against a person because they have sought advice about making a Disclosure, made a good-faith Disclosure, or cooperated in an Investigation:
 - i. discipline;
 - ii. academic penalties (in the case of students);
 - iii. demotion;
 - iv. termination of employment;
 - v. termination of an academic appointment;
 - vi. any other measure which significantly adversely affects his or her working conditions or educational experience; and
 - vii. a threat to take any of the measures referred to above.
- (f) **“Report”** means the report of the Investigation Committee, prepared and distributed in accordance with subsections 2.45 to 2.51 of these Procedures.
- (g) For the purposes of these Procedures, an “academic appointment” is deemed to include nil-salaried and adjunct faculty members.

Designated Officer

- 2.2 The Designated Officer for the University will be the Vice-President (Research & International).
- 2.3 The Designated Officer may delegate some or all of his or her responsibility under these Procedures, either generally or with regard to a particular Disclosure, to any Associate Vice-President in the office of the Vice-President (Research & International).
- 2.4 The Designated Officer will take reasonable steps to educate the University community on the Policy, the Code, and these Procedures.
- 2.5 The Designated Officer shall hold the official file regarding all Disclosures and Investigations, and manage the file in accordance with the University’s policies on records management.

Designated Officer in Conflict

- 2.6 If the subject matter of a Disclosure is such that it would be inappropriate for the Designated Officer to manage the matter, for reason of conflict of interest or any other reason, the Designated Officer may:
 - (a) Appoint any Associate Vice-President in the office of the Vice-President (Research & International) to manage the particular Disclosure; or
 - (b) Appoint any other employee of the University, who is a member of the academic staff, to act as an interim Designated Officer for the purposes of managing the particular Disclosure.
- 2.7 Any delegation under subsections 2.2.to 2.6 regarding a particular Disclosure shall be made with notice to the Person making the Disclosure.

Receipt of Disclosures

- 2.8 A Person may seek advice on making a Disclosure from the Designated Officer. A request for advice must be made in writing.
- 2.9 A Person may make a Disclosure to the Designated Officer, only in writing, containing the following information:
- (a) the name of the Person;
 - (b) contact information for the Person;
 - (c) a description of the alleged Breach;
 - (d) the approximate date(s) of the alleged Breach; and
 - (e) the names of the individuals suspected of the Breach.
- 2.10 No further action is required by the Designated Officer or the University if a Disclosure does not strictly meet the above requirements, including where the Disclosure is not in writing, is anonymous, or does not contain all the required information.
- 2.11 Notwithstanding subsection 2.10, a Designated Officer may act on a non-compliant Disclosure if he or she deems the issue to be sufficiently serious and credible. Where an anonymous Disclosure is accepted, the communications with the disclosing Person normally required by these Procedures will no longer apply.
- 2.12 Where a Disclosure is received by an individual at the University other than the Designated Officer, they will immediately forward the Disclosure to the Designated Officer.
- 2.13 The Designated Officer shall advise any relevant Funding Agency of the essential allegations in a Disclosure if, in his or her opinion, the Disclosure involves a significant financial, health and safety, or other risk. The information provided, or copy of the Disclosure, may be edited in accordance with the law and University policy, to protect the identity of those involved, personal and personal health information.

Initial Review of Disclosures

- 2.14 Except in extenuating circumstances, the Designated Officer will review all Disclosures (the “Initial Review”) within 15 working days of receipt.
- 2.15 A Disclosure will be accepted after Initial Review if, in the opinion of the Designated Officer, the Disclosure:
- (a) was made in good faith, and is not frivolous or vexatious;
 - (b) deals with Breach to which the Policy applies; and
 - (c) Has not already been (or is not in the process of being) investigated in another forum or pursuant to another policy or procedure which would deal comprehensively with the

Breach alleged in the Disclosure.

- 2.16 The Person will be informed in writing as to the results of the Initial Review, including where a Disclosure is rejected, the reasons for such rejection. Where the Initial Review was not completed within 15 working days, the Person will also be informed as to the reason for the delay.
- 2.17 Where the Disclosure alleges a Breach by an individual holding an academic appointment at the University, the Provost (or designate) will be informed of the results of the Initial Review.
- 2.18 A Disclosure which is rejected will require no further action by the Designated Officer or the University.
- 2.19 Where a Funding Agency has been advised of a Disclosure, the Designated Officer shall also advise (no later than 60 calendar days following receipt of the Disclosure) as to whether or not an Investigation will proceed.

Investigation Committee

- 2.20 The Designated Officer will immediately cause an Investigation to be conducted into any Disclosure accepted after Initial Review (the “Investigation”).
- 2.21 The Designated Officer will appoint a minimum of three individuals to form an Investigation Committee (the “Committee”) to conduct the Investigation, and select a Chair for the Committee from among its members.
- 2.22 In appointing the Committee, the Designated Officer will consider the skills necessary to conduct the particular Investigation, and the potential for any conflict of interest. The Committee must have a membership of at least three, in which persons holding an academic appointment are a majority, and otherwise be composed as follows:
 - (a) a minimum of one person (no maximum) holding an academic appointment at the University (which may include the Designated Officer);
 - (b) if required by a Funding Agency, a minimum of one person (no maximum) who does not have an employment relationship, contractual relationship, or academic appointment with the University;
 - (c) any number (no minimum or maximum) of additional Committee members, who may include:
 - i. where the Disclosure alleges a Breach by an employee, a representative of Human Resources, nominated by the Associate Vice-President (Human Resources);
 - ii. where the Disclosure alleges a Breach by a student, a representative of Student Affairs, nominated by the Vice-Provost (Students);
 - iii. any other employees of the University who do not hold an academic appointment, but who have a desirable skill set;

- iv. any number of students or post-doctoral fellows at the University; and
 - v. any number of external persons or experts with a desirable skill set, engaged to participate on the Committee.
- 2.23 If a member of a Committee is unwilling or unable to fulfill his or her duties, the Committee may continue its work so long as it has at least two members, and continues to comply with any applicable Funding Agency requirements.
- 2.24 The Designated Officer may participate as a member of a Committee, including as Chair. The participation of the Designated Officer on a Committee shall not impact the ability of the Designated Officer to make any of the discretionary decisions provided for under this Procedure, including with regard to the Initial Review, extensions of time, or expanding the scope of the Investigation.

Investigation Process

- 2.25 The Committee may conduct the Investigation in any manner the Chair deems appropriate to the nature of the particular Disclosure, the seriousness of the issues involved, and any admissions made during the Investigation. This may include some or all of:
- (a) interviewing witnesses in person;
 - (b) asking questions of witnesses in writing (including by email);
 - (c) reviewing documents (both paper and electronic);
 - (d) reviewing photographs, audio, and video recordings;
 - (e) examining physical evidence;
 - (f) arranging for testing of physical evidence; and/or
 - (g) accessing electronic systems.
- 2.26 The Chair may set reasonable timelines for individuals to respond to requests for assistance with the Investigation.
- 2.27 The Committee will conduct the Investigation in accordance with the principles of procedural fairness and natural justice. In particular, the Committee will consider that:
- (a) the Person must be provided an opportunity to explain and provide evidence in support of the Disclosure;
 - (b) individuals who are alleged to have caused or contributed to a Breach must be informed of the essential nature of the alleged Breach, including having access to documentary and other evidence relevant to the alleged Breach deemed appropriate by the Committee, at a time deemed appropriate by the Committee;
 - (c) individuals who are alleged to have caused or contributed to a Breach must be provided an opportunity to respond to the allegations;

- (d) while strict rules of evidence do not apply, appropriate weight must be given to evidence based on its credibility and reliability; and
 - (e) witnesses (including those making or the subject of a Disclosure) may consult with an advocate (which may include legal counsel, a union representative, or a Student Advocate, as may be appropriate).
- 2.28 An Investigation must normally be completed within 90 calendar days of the Disclosure being assigned to the Committee. The Chair may apply to the Designated Officer for an extension of time of up to 30 calendar days. A Chair may make multiple applications for extensions, but extensions may be granted at a maximum of 30 calendar days at a time. If necessary, the Designated Officer will seek consent to extensions from the relevant Funding Agency. The Designated Officer shall inform the Person, and where appropriate those alleged to have caused or contributed to the Breach, in writing of any extensions granted.
- 2.29 If in the course of an Investigation:
- (a) the Committee discovers that another Breach may have occurred or that others may have been involved in the Breach, the Chair may apply to the Designated Officer to expand the scope of the Investigation; or
 - (b) a subsequent Disclosure is made to the Designated Officer which would most efficiently be dealt with through the same Investigation, the Designated Officer may expand the scope of the Investigation.
- 2.30 Nothing in these Procedures is intended to prevent the Designated Officer or any other person from taking reasonable and immediate steps to:
- (a) address a situation dangerous to the health and safety of persons, or likely to result in damage to property; or
 - (b) protect the administration of University funds, or money received from a Funding Agency.

In such a case, the Investigation will still be completed in accordance with these Procedures.

Confidentiality

- 2.31 All persons involved in the Investigation, whether as a witness or retrieving relevant information or documents, must keep confidential:
- (a) the existence and nature of the Investigation; and
 - (b) any information or documentation obtained as a result of the Investigation.

which information may only be disclosed to those who reasonably need to know. Where an individual is unsure of whether they may disclose particular information, they may seek advice from the Chair, the Designated Officer, Human Resources, the University's legal counsel, or the Access & Privacy Office.

- 2.32 Notwithstanding subsection 2.31, a person who is alleged to have caused or contributed to a Breach may:
- (a) obtain confidential professional advice (including advice from a lawyer, union representative, or Student Advocate, as may be appropriate);
 - (b) disclose information to others only to the extent reasonably necessary to gather evidence and make full answer and defence to the allegations; and
 - (c) use information obtained independent of the Investigation in any other forum.
- 2.33 Notwithstanding subsection 2.31, the Designated Officer may distribute the Report(s) and information set out at subsections 2.45 to 2.51.
- 2.34 The Committee, in conducting its Investigation, will exercise discretion to ensure that individuals participating in the Investigation are only provided such information as is relevant to the Investigation and they may reasonably need to know to be effective witnesses, or in the case of an individual accused of causing or contributing to a Breach, respond to the allegation in accordance with the principles of procedural fairness and natural justice. Individuals participating in the Investigation (including those accused) may not necessarily be provided with all information, documentation, the names of the Person making the Disclosure or other witnesses, or the text of the Disclosure.
- 2.35 Members of the Committee may be required by the Designated Officer to execute a confidential non-disclosure agreement.
- 2.36 The Chair will advise all persons involved in an Investigation as to their obligations regarding confidentiality, and the protections available to them.
- 2.37 Nothing in this section is intended to prevent the Designated Officer or the Committee from using the services of a confidential administrative assistant or secretary, or from consulting with and obtaining advice, on a confidential basis, from experts relevant to the issue, including academics, auditors, accountants, human resource staff, lawyers, and privacy experts (whether internal or external to the University).
- 2.38 The Designated Officer will maintain separate files in regard to each Disclosure or each time advice is sought on a potential Disclosure. Paper files will be secured in a locked location to which only the Designated Officer and his or her confidential assistant have access. Electronic files will be stored in locations with reasonable security, and password access limited to the Designated Officer and his or her confidential assistant. The Committee will turn over their files to the Designated Officer, to be managed on the same basis, once the Investigation has concluded. All files will be maintained in accordance with the University's policies regarding records management.

Protection of Identity

- 2.39 In order to protect privacy and guard against Reprisals, the University will take reasonable steps to protect the identity of the Person making the Disclosure, the individuals alleged to have caused or contributed to a Breach, and others involved in the Investigation. The identity of those involved in the Investigation will be shared or disclosed only where there is a need to know, or as otherwise permitted or contemplated by these Procedures.

- 2.40 The University (including the Committee, the Chair, and the Designated Officer) cannot guarantee complete anonymity to persons participating in an Investigation, and may be required to disclose identifying information:
- (a) in order to comply with the principles of procedural fairness and natural justice, or a collective agreement, in conducting the Investigation;
 - (b) in order to decide upon and implement discipline, mitigation steps, or remedial measures;
 - (c) in order to implement due diligence to prevent similar or related Breaches in the future;
 - (d) in order to comply with requirements of Funding Agencies; or
 - (e) in order to comply with legal, regulatory, or contractual obligations.

Protection from Reprisal

- 2.41 A Person making a Disclosure, a witness, a Committee member, or any other person cooperating with an Investigation is entitled to be protected from Reprisal.
- 2.42 An individual or the Chair may complain about an alleged Reprisal to the Designated Officer. The Designated Officer will consider the allegation, and if in his or her opinion the allegation is substantiated, take reasonable steps to remedy the Reprisal. This may include advising any such individuals as the Designated Officer believes necessary to decide upon and implement discipline, mitigation steps or remedial measures pursuant to subsections 2.52 to 2.57.
- 2.43 It is not a Reprisal for the University to implement discipline or take other measures against an individual if:
- (a) the individual has attempted to interfere with or failed to reasonably cooperate with an Investigation;
 - (b) the person made a Disclosure or allegations in bad faith;
 - (c) the individual has materially breached the Policy or its Procedures; or
 - (d) the individual is otherwise deserving of discipline.
- 2.44 Even where a Person indicates that he or she wishes to withdraw a Disclosure (including for fear of Reprisal or being identified) during an Investigation, the Designated Officer may determine that the issue is important enough that an Investigation must continue.

Reports on Investigations

- 2.45 At the conclusion of the Investigation, the Committee will issue a Report (the “Report”) to the Designated Officer.
- 2.46 The Report will contain, at a minimum, the following:
- (a) a summary of the Disclosure and the alleged Breach;

- (b) a summary of the process and key timelines in the Investigation;
- (c) a summary of the key evidence obtained through the Investigation, including the response of the individual(s) alleged to have caused or contributed to a Breach;
- (d) an indication of which key evidence was considered credible and reliable;
- (e) a conclusion as to whether a Breach has or is likely to be committed, including identifying which individuals caused or contributed to the Breach;
- (f) a summary of the reasons for the conclusion;
- (g) a summary of any remedial measures taken in regard to a Breach (to the date of the Report); and
- (h) recommendations regarding mitigation steps, remedial measures, and due diligence against future breaches.

2.47 A Report must be supported by the majority of the members of a Committee. Should a Committee be unable to reach such consensus, the Chair will advise the Designated Officer, who will:

- (a) constitute a new Committee to initiate a new Investigation; or
- (b) abandon the Investigation.

in either case, notifying the same parties as who would normally receive the Report.

2.48 The Designated Officer may request the Chair of the Committee to prepare one or more redacted versions of the Report for the purposes of protecting confidentiality and protecting the identity of persons involved in the Investigation. All redactions will be made in a manner which complies with applicable privacy legislation and these Procedures. The Chair may consult with the Access & Privacy Office or legal counsel in preparing such versions. The redacted versions must, in all respects, be identical to the original except for the redacted portions.

2.49 The Designated Officer will provide an appropriate version of the Report (either in original or redacted form), within 30 calendar days of the conclusion of the Investigation, to:

- (a) all Researcher(s) or other persons who were accused of causing or contributing to a Breach; and
- (b) where the Researcher(s) accused of causing or contributing to a Breach holds or held an academic appointment with the University, the Provost (or designate).

in each case the Report including, at a minimum, the information set out at subsections 2.46 (a), (b), (d), (e), (f), and the evidence provided by the recipient.

2.50 The Designated Officer will provide a summary or an appropriate version of the Report (either in original or redacted form), within 30 calendar days of the conclusion of the Investigation, to:

- (a) the Person making the Disclosure;
- (b) collaborators (including at other institutions) with the Researcher(s) who were accused of causing or contributing to a Breach;
- (c) all such individuals (including external to the University) as the Designated Officer believes necessary to decide upon and implement discipline, mitigation steps, or remedial measures;
- (d) all such individuals as the Designated Officer believes necessary to implement due diligence to prevent similar or related Breaches in the future;
- (e) all such individuals as the Designated Officer believes necessary to protect or restore the reputation of those wrongly accused of causing or contributing to a Breach; and
- (f) any other person required in order to comply with legal, regulatory, or contractual obligations.

in each case the summary or Report including, at a minimum, a summary of any evidence provided by the recipient, and enough information for the recipient to understand the essential nature of the Disclosure and whether or not a Breach was found to have occurred.

2.51 Within 30 calendar days of the conclusion of the Investigation, the Designated Officer will prepare and provide a summary of the Investigation and subsequent steps to any relevant Funding Agency, which summary must include:

- (a) the specific allegation(s) subject to Investigation, including the names of any Researcher(s) alleged to have caused or contributed to a Breach;
- (b) a summary of the Committee's findings and reasons for the findings;
- (c) the process and time lines followed, with reference to the Policy and these Procedures;
- (d) the response of the Researcher(s) alleged to have caused or contributed to a Breach;
- (e) any steps taken by the Researcher(s) to rectify the alleged Breach;
- (f) the Committee's decision as to whether a Breach occurred;
- (g) the Committee's recommendations; and
- (h) subsequent actions taken by the University.

but omitting information which is not relevant to the particular Funding Agency, and only including such personal information about individuals participating in the Investigation as is reasonably necessary.

Discipline

- 2.52 Upon receipt of the results of an Investigation in which there was a finding of a Breach, a finding that a Reprisal has occurred, or a failure to cooperate with the Investigation, the Designated Officer will advise any such individuals as the Designated Officer believes necessary to decide upon and implement discipline, mitigation steps or remedial measures.
- 2.53 Discipline may, if found to be warranted, be implemented by an appropriate supervisor, manager, or other disciplinary authority after consulting with the Designated Officer.
- 2.54 Any discipline will be implemented pursuant to and in accordance with the relevant collective agreement, University policies or by-laws.
- 2.55 Before deciding on or implementing any discipline, mitigation steps or other remedial measures, the disciplinary authority and the Designated Officer must seek advice and guidance from appropriate individuals in the circumstances, which may include:
- (a) in all cases regarding an individual holding an academic appointment, the Provost,
 - (b) in all cases regarding an employee, the Associate Vice-President (Human Resources),
 - (c) in all cases regarding an undergraduate student, the Vice-Provost (Students),
 - (d) in all cases regarding a graduate student, the Vice-Provost (Graduate Education) and Dean, Faculty of Graduate Studies,
 - (e) individuals at various levels with relevant supervisory responsibility, such as the manager of an employee, a department head, or the Dean or Director of the relevant Faculty or unit,
 - (f) legal counsel, or
 - (g) any other individual appropriate in the circumstances.
- 2.56 Anonymous material may only be considered in a disciplinary decision where it would not violate the principles of procedural fairness and natural justice, and it would not conflict with a relevant collective agreement.
- 2.57 Nothing herein is intended to limit the ability of a Funding Agency to implement its own discipline or penalties as a result of a Breach.

Researcher Reputation

- 2.58 Where a Report concludes that Researcher(s) or other persons named in a Disclosure were not responsible for a Breach, the Designated Officer shall cause all reasonable steps to be taken to protect or restore the reputation of those wrongly accused.
- 2.59 The University may publish or cause to be published the name of Researcher(s) found by to have caused or contributed to a Breach, only:
- (a) if the findings of the Committee clearly indicate that a Breach occurred, and the Breach was intentional and not the result of an innocent error or oversight; and

- (b) all internal opportunities for grievance or appeal have expired.

Informal Resolution

- 2.60 Notwithstanding anything else in these Procedures, the Designated Officer may, at any time, attempt to facilitate an informal resolution of a concern which could constitute a Breach, so long as:
 - (a) The Person(s) making the Disclosure or allegation(s) and the individual(s) alleged to have caused or contributed to a Breach agree to pursue informal resolution;
 - (b) The alleged Breach does not involve a significant financial, health and safety, or other risk; and
 - (c) There is no contractual, legal, or Funding Agency requirement to immediately pursue a more formal process or an Investigation.
- 2.61 The Designated Officer may extend or abridge any timelines, or pause any process or Investigation under these Procedures, in order to allow an opportunity for informal resolution.
- 2.62 Should the Person(s) making the Disclosure or allegation(s) and the individual(s) alleged to have caused or contributed to a Breach fail to reach agreement on how to resolve a concern within a time the Designated Officer deems to be reasonable, the Designated Officer shall cause the matter to move forward appropriately through the other processes set out in these Procedures.

Part III Accountability

- 3.1 The Office of Legal Counsel is responsible for advising the President that a formal review of these Procedures is required.
- 3.2 The President, delegated to the Vice-President (Research & International), is responsible for the communication, administration and interpretation of these Procedures.
- 3.3 All Researchers are responsible for complying with these Procedures.

Part IV Review

- 4.1 Governing Document reviews shall be conducted every ten (10) years by the Responsible Executive Officer. The next scheduled review date for these Procedures is <>, 2023.
- 4.2 In the interim, these Procedures may be revised or rescinded if:
 - (a) the Vice-President or President deems it necessary or desirable to do so;
 - (b) the Procedures are no longer legislatively or statutorily compliant;
 - (c) the Procedures are now in conflict with another Governing Document; and/or

- (d) the Governing Document Development and Review Policy is revised or repealed.

Part V
Effect on Previous Statements

5.1 These Procedures supersede the following:

- (a) all previous Board/Senate Procedures, and resolutions on the subject matter contained herein; and
- (b) all previous Administration Procedures, and resolutions on the subject matter contained herein; and
- (c) all previous Faculty/School Council Procedures stemming from the Faculty/School Council Bylaw and academic and admission Regulations and any resolutions on the subject matter contained herein.

Part VI
Cross References

6.1 These Procedures should be cross referenced to the following relevant Governing Documents, legislation and/or forms:

- (a) Responsible Conduct of Research;
- (b) Code of Research Ethics;
- (c) Collective Agreements (various);
- (d) Student Discipline By-law; and
- (e) Conflict of Interest.

UNIVERSITY OF MANITOBA
POLICY

Policy:	Responsible Conduct of Research – Code of Research Ethics
Effective Date:	
Revised Date:	
Review Date:	
Approving Body:	Board of Governors, on recommendation by Senate
Authority:	Responsible Conduct of Research Policy
Responsible Executive Officer:	President, delegated to Vice-President (Research & International)
Contact:	Vice-President (Research & International)
Application:	Students, Employees and Researchers

Part I
Reason for Policy

- 1.1 The University has adopted a Policy on the *Responsible Conduct of Research*. Part of that Policy requires that the University define its expectations for Researchers on the responsible conduct of Research.

Part II
Policy Content

Definitions

- 2.1 The following terms have the following defined meanings for the purpose of this Policy and its Procedures.
- (a) all terms defined in the Policy *Responsible Conduct of Research* have the same meaning in this Policy.
 - (b) **“Work”** means all original literary, dramatic, musical, and artistic works, performances, communication signals, and sound recordings, in any media, capable of protection under the *Copyright Act (Canada)*, as amended from time to time.

Code of Research Ethics

- 2.2 All Researchers shall conduct their Research in accordance with this Code.

Academic Rigour

- 2.3 Researchers shall use a high level of rigour in proposing and performing Research, and in particular must refrain from the following:

- (a) *Non-Compliance*: Failure to apply for all necessary approvals or conduct the Research in accordance with the University's policies (including research ethics approvals), the requirements of Funding Agencies, the rules of professional governing bodies, and all relevant laws;
- (b) *Falsification*: Failure to accurately record methodologies, data and findings, including manipulating, changing, or omitting material portions;
- (c) *Fabrication*: Making up or manufacturing methodologies, data or findings;
- (d) *Destruction of records*: Failure to keep complete and accurate records of methodologies, data and findings, including destroying them in a manner which does not comply with the University's policies regarding records management; and
- (e) *Redundant publication*: Re-publishing previously published data and findings, without acknowledgement of the previous publication.

Attribution

2.4 Researchers shall acknowledge the efforts and contributions of others, and in particular must refrain from the following:

- (a) *Plagiarism*: Failure to accurately cite and reference all published and unpublished Works, data, methodologies, and ideas used in Research, including presenting such materials as one's own;
- (b) *Copyright Breach*: Failure to obtain permission for the use of all Works, in accordance with the applicable copyright law, and the University's policies, procedures, guidelines and rules related to copyright; and
- (c) *Invalid Authorship*: Failure to accurately attribute the authorship of reports, papers and publications, and in particular failure to:
 - i. include as authors, any persons who have materially or conceptually contributed to, and are willing to share responsibility for, the contents;
 - ii. not include as an author any person making a material or conceptual contribution but unwilling to share responsibility for the contents;
 - iii. exclude as an author any person who has not made a material or conceptual contribution to the publication; and
 - iv. acknowledge authors in a manner consistent with their respective contributions, the generally accepted practices of the area of specialty, and the authorship policies of the relevant publication.

Conflict of Interest

2.5 Researchers shall avoid or appropriately manage any conflict of interest, and in particular:

- (a) report any real, potential, or perceived conflict of interest, in accordance with the University's policy on *Conflict of Interest*;
- (b) refuse to engage in Research where there is no reasonable plan for the management of a conflict of interest; and
- (c) identify all contributors to Research, including writers, Funding Agencies, and sponsors.

Funding Agencies

2.6 Researchers shall engage with integrity with Funding Agencies, and in particular must refrain from the following:

- (a) *Misrepresentation*: Failure to provide true, complete and accurate information to Funding Agencies, including failure to:
 - i. provide accurate proposals, applications, reports and information;
 - ii. only include persons as co-applicants, collaborators or partners who have agreed to be included in proposals as such; and
 - iii. accurately describe the qualifications of those persons participating in the Research, including on any Curriculum Vitae.
- (b) *Mismanagement of Funding*: Failure to expend money granted by Funding Agencies only for purposes approved by the Funding Agency; and
- (c) *Breach of Policy*: Failure to comply with all relevant policies of the Funding Agencies.

Supervision of Research

2.7 A principal investigator or co-investigator (the "Supervisor") assumes primary responsibility to take all reasonable steps to ensure that Research conducted under their direction complies with this Code.

2.8 The Supervisor must, in regard to any Research conducted under their direction:

- (a) meet regularly with those they supervise in regard to the Research;
- (b) encourage the use of a high level of rigour in:
 - i. developing methodologies;
 - ii. recording data and findings;
 - iii. analyzing and interpreting data and findings; and
 - iv. fairly reporting and/or publishing data and findings.
- (c) review the work of those they supervise to the fullest extent practical;

- (d) exercise particular scrutiny over publications to which the Supervisor will be named an author; and
 - (e) generally establish systems and safeguards to give the Supervisor a high degree of comfort that the Research complies with this Code.
- 2.9 A Supervisor's responsibility does not relieve each Researcher involved with a project from their personal obligation to comply with this Code.

Code Not Exhaustive

- 2.10 This Code is not intended to be an exhaustive list of all ethical issues which may arise in regard to Research.
- 2.11 In addition to those matters referenced in this Code, Researchers are expected to follow the principles of responsible Research generally accepted in the academic community and/or by a relevant Funding Agency.
- 2.12 Researchers have an obligation to inform themselves as to the principles of responsible Research generally accepted in the academic community and/or by a relevant Funding Agency.
- 2.13 The University, through the office of the Vice-President (Research & International) has the obligation to make opportunities available for Researchers to learn about the Policy, the Code, the principles of responsible Research generally accepted in the academic community, and the rules of major Funding Agencies.

Part III Accountability

- 3.1 The Office of Legal Counsel is responsible for advising the President, delegated to Vice-President (Research & International), that a formal review of this Policy is required.
- 3.2 The President, delegated to the Vice-President (Research & International), is responsible for the communication, administration and interpretation of this Policy.
- 3.3 All Researchers are responsible for complying with this Policy.

Part IV Authority to Approve Procedures

- 4.1 The Vice-President (Research & International) or the President may approve Procedures which are secondary to and comply with this Policy.

Part V Review

- 5.1 Governing Document reviews shall be conducted every ten (10) years by the Responsible Executive Officer. The next review date for this Policy is <>, 2023.
- 5.2 In the interim, this Policy may be revised or repealed if:

- (a) the Approving Body deems necessary or desirable to do so; or
- (b) the Policy is no longer legislatively or statutorily compliant; and/or
- (c) the Policy is now in conflict with another Governing Document.

Part VI
Effect on Previous Statements

6.1 This Policy supersedes the following:

- (a) all previous Board/Senate Governing Documents on the subject matter contained herein; and
- (b) all previous Administration Governing Documents on the subject matter contained herein; and
- (c) all previous Faculty/School Council Governing Documents stemming from the Faculty/School Council Bylaw and academic and admission Regulations and any resolutions on the subject matter contained herein.

Part VII
Cross References

7.1 This Policy should be cross referenced to the following relevant Governing Documents, legislation and/or forms:

- (a) Responsible Conduct of Research Policy; and
- (b) Conflict of Interest Policy.



AGENDA ITEM: *Student Referendum, School of Art*

RECOMMENDED RESOLUTION:

That a \$3.00 per credit hour contribution be assessed against the students in the School of Art for a three year term commencing in the fall of 2013 as outlined in the letter from Paul Hess, Director, School of Art, dated March 5, 2013.

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

On Monday, February 4 and Tuesday, February 5, the School of Fine Arts Student Association held a referendum to support the Student Initiative Fund and the Endowment Fund.

This amounts to an approximate donation of \$90 per student per year. The students voted to contribute \$3.00 per credit hour for a three year term beginning in the fall of 2013, resulting in a total contribution of approximately \$85,320 (pending student enrolment); designating 90% Art Student Initiative Fund and 10% Art Endowment Fund.

There was a total of 10% participation rate with 32 of the 316 eligible student voters casting a ballot. Of those votes 28 were "yes" votes, 4 were "no" votes and there were no spoiled ballots. As a result of a student referendum in 2000, students have been supporting the Visiting Artist Fund and voted to transfer a surplus of \$53,000 from this fund and designate it towards the Student Initiative Fund.

For the fund transfer, there was a total of 10% participation rate with 32 of the 316 eligible student voters casting a ballot. Of those votes 29 were "yes" votes, 3 were "no" votes and there were no spoiled ballots.

RESOURCE REQUIREMENTS:

N/A

IMPLICATIONS:

N/A

ALTERNATIVES:

N/A

CONSULTATION: *[delete if not applicable]*

N/A



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	John Kearsey <i>[Signature]</i>	<i>[Signature]</i>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	David Barnard <i>[Signature]</i>	April 12, 2013
<input checked="" type="checkbox"/>	<input type="checkbox"/>	FAHR	May 1, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Office of the Vice-President (External)

Submission prepared by:

Submission approved by:

This must be the President, a Vice-President, or the University Secretary.

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

- Letter from Paul Hess, Director, School of Art
- Letter from Sara Perkins, Senior Stick, School of Fine Arts Student Association



UNIVERSITY
OF MANITOBA

School of Art

313 ARTlab
Winnipeg, Manitoba
Canada R3T 2N2
Telephone (204) 474-9367
Fax (204) 474-7605

March 5, 2013

Dr. David Barnard
President and Vice-Chancellor
University of Manitoba

Dear Dr. Barnard:

I am pleased to inform you that the students in the School of Art have once again voted to continue making contributions to the school through their student referendum.

Attached you will find the letter I received from Sara Perkins, Senior Stick of the School of Fine Arts Student Association. The letter details how proper notice was provided to the students about the fund transfer and the referendum initiative, including the disbursement and the vote date through emails, social media and a presentations made by the student council.

As Sara explains, the students wish to contribute \$3.00 per credit hour for a three year term, to the School of Art Student Initiative Fund and the School of Art Endowment Fund. This will result in a contribution of \$85,320 (pending enrolment) to the university. This contribution is to be collected from each student in each term when fees are paid, beginning in the fall of the 2013/2014 fiscal year. Students have also voted to transfer \$53,000 from the Visiting Artist Fund (a fund supported by students as a result of the 2000 student referendum) to the Student Initiative Fund.

I would appreciate it if you would present these results to the Board of Governors for approval.

Sincerely,

Paul Hess
Director

enclosure

cc: Sana Mahboob, Donor Relations

February 12, 2013

Prof. Paul Hess
Director, School of Art
326 ARTlab
University of Manitoba,
Winnipeg, MB R3T 2N2

Dear Prof. Hess,

On Monday, February 4 and Tuesday, February 5, the School of Fine Arts Student Association held a referendum to support the Student Initiative Fund and the Endowment Fund. Each student was proposed with making a donation of \$3.00 per credit hour for a three year term, beginning in the fall of 2013. This amounts to an approximate donation of \$90 per student per year. I am pleased to inform you that the vote was successful and as such, the students will be contributing \$85,320 (pending student enrolment) to the School of Art over the next three years.

As a result of a student referendum in 2000, students have been supporting the Visiting Artist Fund. We also voted to transfer a surplus of \$53,000 from this fund and designate it towards our Student Initiative Fund (turning the Visiting Artist Fund to an endowed fund). The ballot read as follows:

**SCHOOL OF ART
2013 REFERENDUM BALLOT**

I agree to make a tax-deductible contribution of \$3.00 per credit hour (\$90 per year for 30 credit hours) to be paid at the time of registration.

This contribution will be directed to the School of Art as follows:

90% School of Art Student Initiative Fund
10% School of Art Endowment Fund

The term for this agreement is to be 3 years

Yes **No**

I vote to transfer \$53,000 from the *Visiting Artist Fund* (supported by students since 2000) to the *Student Initiative Fund*

Yes **No**

There was a 10% participation rate with 32 of the 316 eligible student voters casting a ballot. Of those votes, the three year contribution to the Initiative fund and the Endowment fund had 28 "yes" votes and 4 "no" votes. The vote to transfer \$53,000 from the Visiting Artist Fund to the Student Initiative Fund had 29 "yes" votes and 3 "no" votes. There were no spoiled ballots.

Prior to the referendum vote we held an open forum, put up posters, sent emails and posted this information via social media to ensure all students were made aware of information detailing the referendum process, the proposed donation amount and disbursement, the fund transfer and the need to give back.

SOFA supports the results of this referendum and asks that the university take the necessary steps to implement the contributions. I am requesting that you forward this information to Dr. David Barnard, President of The University of Manitoba, who will present it to the Board of Governors for ratification. If you require any additional information or have any questions, please feel free to contact me as soon as possible.

Sincerely,

Sara Perkins, Senior Stick SOFA

cc: Sana Mahboob, Donor Relations



AGENDA ITEM: *Student Referendum, Department of Interior Design*

RECOMMENDED RESOLUTION:

That a \$1.67 per credit hour contribution be assessed against the students in the Department of Interior Design for a three year term commencing in the fall of 2013 as outlined in the letter from Ralph Stern, Dean, Faculty of Architecture, dated March 12, 2013.

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

On Friday, March 8 and Monday, March 11 the Interior Design Association of Students held a referendum to support the Architecture Endowment Fund. This amounts to an approximate donation of \$50 per student per year. The students voted to contribute \$1.67 per credit hour for a three year term beginning in the fall of 2013, resulting in a total contribution of approximately \$5,850 (pending student enrolment); designating 100% Architecture Endowment Fund. There was a 46% participation rate with 18 of the 39 eligible student voters casting a ballot. Of those votes, 15 were "yes" votes, 0 were "no" votes and there were no spoiled ballots.

RESOURCE REQUIREMENTS:

N/A

IMPLICATIONS:

N/A

ALTERNATIVES:

N/A

CONSULTATION: *[delete if not applicable]*

N/A



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	John Kearsey <i>John Kearsey</i>	Apr 05/13
<input type="checkbox"/>	<input checked="" type="checkbox"/>	David Barnard <i>David Barnard</i>	Apr 12, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Office of the Vice-President (External)

Submission prepared by:

Submission approved by:

This must be the President, a Vice-President, or the University Secretary.

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

- Letter from Ralph Stern, Dean, Faculty of Architecture
- Letter from Erin Riediger and Lindsay Biberdorf, Co-Presidents, Interior Design Association of Students



UNIVERSITY
OF MANITOBA

Faculty of Architecture

Architecture
City Planning
Environmental Design
Interior Design
Landscape Architecture

Office of the Dean
Winnipeg, Manitoba
Canada R3T 2N2
Telephone (204) 474-6433
Fax (204) 474-7532

March 12, 2013

Dr. David Barnard
President and Vice-Chancellor
University of Manitoba

Dear Dr. Barnard:

I am pleased to inform you that the students in the Faculty of Architecture have once again voted to continue making contributions to the faculty through their student referendum.

Attached you will find the letter I received from Erin Riediger and Lindsay Biberdorf, Co-Presidents of the Interior Design Association of Students. The letter details how proper notice was provided to the students about the referendum initiative, including the disbursement and the vote date, through emails sent and a presentation made by the president of the student council.

As Erin and Lindsay explain, the students wish to contribute \$1.67 per credit hour for a three year term, to the Architecture Endowment Fund. This will result in a contribution of \$5,850 (pending enrolment) to the university. This contribution is to be collected from each student in each term when fees are paid, beginning in the fall of the 2013/2014 fiscal year.

I would appreciate it if you would present these results to the Board of Governors for approval.

Sincerely,

Ralph Stern, MAA, MRAIC, RA, AIA
Dean, Faculty of Architecture

enclosure

cc: Sana Mahboob, Department of Donor Relations

March 12, 2013

Prof. Ralph Stern
Dean, Faculty of Architecture
201 Russell Bldg
University of Manitoba,
Winnipeg, MB R3T 2N2

Dear Prof. Stern,

On Friday, March 8 and Monday, March 11 the Interior Design Association of Students held a referendum to support the Architecture Endowment Fund. Each student was proposed with making a donation of \$1.67 per credit hour for a three year term, beginning in the fall of 2013. This amounts to an approximate donation of \$50 per student per year. I am pleased to inform you that the vote was successful and as such, the students will be contributing \$5,850 (pending student enrolment) to the Faculty of Architecture over the next three years. The ballot read as follows:

**FACULTY OF ARCHITECTURE – INTERIOR DESIGN
2013 REFERENDUM BALLOT**

I agree to make a tax-deductible contribution of \$1.67 per credit hour
(\$50 per year for 30 credit hours)
to be paid at the time of registration.

This contribution will be directed to the Faculty of Architecture as follows:

100% Faculty of Architecture Endowment Fund

The term for this agreement is to be 3 years

Yes **No**

There was a 46% participation rate with 18 of the 39 eligible student voters casting a ballot. Of those votes, 15 were "yes" votes, 0 were "no" votes and there were no spoiled ballots.

Prior to the referendum vote, we sent emails and conducted an open forum to ensure all students were made aware of information detailing the referendum process, the proposed donation amount and disbursement and the need to give back. Finally, all students were advised that they had the option to vote confidentially by email should they not be present on campus on Election Day.

The Interior Design Association of Students supports the results of this referendum and asks that the university take the necessary steps to implement the contributions. We are requesting that you forward this information to Dr. David Barnard, President of the University of Manitoba, who will present it to the Board of Governors for ratification. If you require any additional information or have any questions, please feel free to contact us.

Sincerely,

Erin Riediger
Co-President

Lindsay Biberdorf
Co-President

cc: Sana Mahboob, Donor Relations



AGENDA ITEM: *Student Referendum, Marcel A. Desautels Faculty of Music*

RECOMMENDED RESOLUTION:

That a \$2.00 per credit hour contribution be assessed against the students in the Faculty of Music for a three year term commencing in the fall of 2013 as outlined in the letter from Edmund Dawe, Dean, Faculty of Music, dated March 5, 2013.

Action Requested:

Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

On Thursday, February 28 and Friday, March 1 the Faculty of Music Students Association held a referendum to support the Music Endowment Fund and the Music Student Initiative Fund. This amounts to an approximate donation of \$60 per student per year. The students voted to contribute \$2.00 per credit hour for a three year term beginning in the fall of 2013, resulting in a total contribution of approximately \$30,420 (pending student enrolment); designating 90% Music Endowment Fund; 10% Music Student Initiative Fund. There was a 37% participation rate with 62 of the 169 eligible student voters casting a ballot. Of those votes, 56 were "yes" votes, 6 were "no" votes and there were no spoiled ballots

RESOURCE REQUIREMENTS:

N/A

IMPLICATIONS:

N/A

ALTERNATIVES:

N/A

CONSULTATION: *[delete if not applicable]*

N/A



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	John Kearsey <i>John Kearsey</i>	Apr 5/13
<input type="checkbox"/>	<input checked="" type="checkbox"/>	David Barnard <i>David Barnard</i>	Apr 12, 2013
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	FAHR	May 12, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Office of the Vice-President (External)

Submission prepared by:

Submission approved by:

This must be the President, a Vice-President, or the University Secretary.

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

- Letter from Edmund Dawe, Dean, Faculty of Music
- Letter from Olivia Orton, Senior Stick, Faculty of Music Students Association



UNIVERSITY
OF MANITOBA

Marcel A. Desautels
Faculty of Music

Marcel A. Desautels Faculty of Music
65 Dafoe Road
Winnipeg, Manitoba
Canada R3T 2N2
Telephone (204) 474-9310
Fax (204) 474-7546
music@umanitoba.ca

March 5, 2013

Dr. David Barnard
President and Vice-Chancellor
University of Manitoba

Dear Dr. Barnard:

I am pleased to inform you that the students in the Marcel A. Desautels Faculty of Music have once again voted to continue making contributions to the faculty through their student referendum.

Attached you will find the letter I received from Olivia Orton, Senior Stick of the Faculty of Music Students' Association. The letter details how proper notice was provided to the students about the referendum initiative, including the disbursement and the vote date, through emails sent and an open forum held by the Senior Stick of the Students' Association.

As Olivia explains, the students wish to contribute \$2.00 per credit hour for a three-year term, to the Music Endowment Fund and the Music Student Initiative Fund. This will result in a contribution of \$30,420 (pending enrolment) to the university. This contribution is to be collected from each student in each term when fees are paid, beginning in the fall of the 2013-2014 fiscal year.

I would appreciate it if you would present these results to the Board of Governors for approval.

Sincerely,

Edmund Dawe
Dean

enclosure

cc: Sana Mahboob, Donor Relations

March 5, 2013

Dr. Edmund Dawe
Dean, Marcel A. Desautels Faculty of Music
207 Music Building
University of Manitoba

Dear Dr. Dawe,

On Thursday, February 28 and Friday, March 1 the Faculty of Music Students Association held a referendum to support the Music Endowment Fund and the Music Student Initiative Fund. Each student was proposed with making a donation of \$2.00 per credit hour for a three year term, beginning in the fall of 2013. This amounts to an approximate donation of \$60 per student per year. I am pleased to inform you that the vote was successful and as such, the students will be contributing \$30,420 (pending student enrolment) to the Faculty of Music over the next three years. The ballot read as follows:

**MARCEL A. DESAUTELS FACULTY OF MUSIC
2013 REFERENDUM BALLOT**

I agree to make a tax-deductible contribution of \$2.00 per credit hour
(\$60 per year for 30 credit hours)
to be paid at the time of registration.

This contribution will be directed to Music as follows:

90% Music Endowment Fund
10% Music Student Initiative Fund

The term for this agreement is to be 3 years

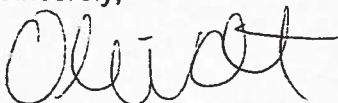
Yes No

There was a 37% participation rate with 62 of the 169 eligible student voters casting a ballot. Of those votes, 56 were "yes" votes, 6 were "no" votes and there were no spoiled ballots.

Prior to the referendum vote, we sent emails and conducted an open forum to ensure all students were made aware of information detailing the referendum process, the proposed donation amount and disbursement and the need to give back.

The Faculty of Music Students Association supports the results of this referendum and asks that the university take the necessary steps to implement the contributions. I am requesting that you forward this information to Dr. David Barnard, President of the University of Manitoba, who will present it to the Board of Governors for ratification. If you require any additional information or have any questions, please feel free to contact me.

Sincerely,



Olivia Orton
Senior Stick

cc: Sana Mahboob, Donor Relations



AGENDA ITEM: *Student Referendum, Clayton H. Riddell Faculty of Environment, Earth, and Resources*

RECOMMENDED RESOLUTION:

That a \$2.33 per credit hour contribution be assessed against the students in the Faculty of Environment, Earth, and Resources for a three year term commencing in the fall of 2013 as outlined in the letter from Norm Halden, Dean, Faculty of Environment, Earth, and Resources, dated March 5, 2013.

Action Requested: Approval Discussion/Advice Information

CONTEXT AND BACKGROUND:

On Thursday, February 28 and Friday, March 1 the Society of Earth Sciences & Environmental Students held a referendum to support the Clayton H. Riddell Faculty of Environment, Earth and Resources Student Fund. This amounts to an approximate donation of \$70 per student per year. The students voted to contribute \$2.33 per credit hour for a three year term beginning in the fall of 2013, resulting in a total contribution of approximately \$82,320 (pending student enrolment); designating 100% Faculty of Environment, Earth, and Resources Student Fund. There was a 29% participation rate with 113 of the 392 eligible student voters casting a ballot. Of those votes, 93 were "yes" votes, 18 were "no" votes and there were 2 spoiled ballots.

RESOURCE REQUIREMENTS:

N/A

IMPLICATIONS:

N/A

ALTERNATIVES:

N/A

CONSULTATION: *[delete if not applicable]*

N/A



Board of Governors Submission

Routing to the Board of Governors:

<u>Reviewed</u>	<u>Recommended</u>	<u>By</u>	<u>Date</u>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	John Kearsey <i>John Kearsey</i>	<i>Apr. 05 / 11</i>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	David Barrard <i>David Barrard</i>	<i>April 13, 2013</i>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	FAHR	May 1, 2013
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Office of the Vice-President (External)

Submission prepared by:

Submission approved by:

This must be the President, a Vice-President, or the University Secretary.

Attachments

Please list any related material attached. Ideally attachments for any given submission will not exceed ten (10) pages.

- Letter from Norm Halden, Dean, Faculty of Environment, Earth, and Resources
- Letter from Skye Kushner and Colin Epp, Co-Sticks, Society of Earth Sciences & Environmental Students



UNIVERSITY
OF MANITOBA

Clayton H. Riddell
Faculty of Environment,
Earth, and Resources

440 Wallace Building
Winnipeg, Manitoba
Canada R3T 2N2
General Office (204) 474-7252
Fax (204) 275-3147

March 5, 2013

Dr. David Barnard
President and Vice-Chancellor
University of Manitoba

Dear Dr. Barnard:

I am pleased to inform you that the students in the Clayton H. Riddell Faculty of Environment, Earth, and Resources have once again voted to continue making contributions to the faculty through their student referendum.

Attached you will find the letter I received from Colin Epp and Skye Kushner, Co-Sticks of the Society of Earth Sciences & Environmental Students. The letter details how proper notice was provided to the students about the referendum initiative, including the disbursement and the vote date, through emails sent, classroom presentations and an open forum held by the Co-Sticks of the student council.

As Colin and Skye explain, the students wish to contribute \$2.33 per credit hour for a three year term, to the Faculty of Environment, Earth and Resources Student Fund. This will result in a contribution of \$82,320 (pending enrolment) to the university. This contribution is to be collected from each student in each term when fees are paid, beginning in the fall of the 2013/2014 fiscal year.

I would appreciate it if you would present these results to the Board of Governors for approval.

Sincerely,

Norman Halden
Dean

enclosure

cc: Sana Mahboob, Donor Relations

March 5, 2013

Dr. Norman Halden
Dean, Clayton H. Riddell Faculty of Environment, Earth, and Resources
445 Wallace Bldg
University of Manitoba

Dear Dr. Halden,

On Thursday, February 28 and Friday, March 1 the Society of Earth Sciences & Environmental Students held a referendum to support the Faculty of Environment, Earth and Resources Student Fund. Each student was proposed with making a donation of \$2.33 per credit hour for a three year term, beginning in the fall of 2013. This amounts to an approximate donation of \$70 per student per year. I am pleased to inform you that the vote was successful and as such, the students will be contributing \$82,320 (pending student enrolment) to the Faculty of Environment, Earth, and Resources over the next three years. The ballot read as follows:

**CLAYTON H. RIDDELL
FACULTY OF ENVIRONMENT, EARTH, AND RESOURCES
2013 REFERENDUM BALLOT**

I agree to make a tax-deductible contribution of \$2.33 per credit hour
(\$70 per year for 30 credit hours)
to be paid at the time of registration.

This contribution will be directed to Environment, Earth, and Resources as follows:

100% Faculty of Environment, Earth, and Resources Student Fund

The term for this agreement is to be 3 years

Yes No

There was a 29% participation rate with 113 of the 392 eligible student voters casting a ballot. Of those votes, 93 were "yes" votes, 18 were "no" votes and there were 2 spoiled ballots.

Prior to the referendum vote, we sent emails, conducted classroom presentations and held an open forum to ensure all students were made aware of information detailing the referendum process, the proposed donation amount and disbursement and the need to give back.

The Society of Earth Sciences & Environmental Students supports the results of this referendum and asks that the university take the necessary steps to implement the contributions. We are requesting that you forward this information to Dr. David Barnard, President of the University of Manitoba, who will present it to the Board of Governors for ratification. If you require any additional information or have any questions, please feel free to contact us.

Sincerely,



Skye Kushner
Co-Stick, SESES

cc: Sana Mahboob, Donor Relations