

# 2017-2020 Comprehensive Institutional Plan (CIP) Guidelines

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# Comprehensive Institutional Plan (CIP) Guidelines

## Introduction

The purpose of these guidelines is to assist Alberta's publicly-funded post-secondary institutions in preparing their Comprehensive Institutional Plan (CIP). The guidelines provide institutions with a framework for developing CIPs that integrates both institutional and government goals and priorities. It is expected that CIPs be framed in the context of supporting the overall objectives of the adult learning system (accessibility, affordability, quality, coordination, and accountability), and will align with the institution's mandate. Academic planning is expected to link to, and drive, the CIP. It is also expected that, from the perspective of research planning, the CIPs will be informed by Alberta's strategic priorities and desired outcomes.

Among other functions, the CIP is a three-year planning document that integrates the institutional business plan, the Institutional Access Plan (IAP), and the Institutional Research Plan into one document. The integration of these documents reflects the commitment of Advanced Education to work with Alberta's post-secondary institutions to streamline and increase the efficiency of planning processes and institutional submissions to the department. This integration emphasizes the need for both the institutions and the department to align and integrate planning across the system in order to achieve system outcomes. The CIP will satisfy current legislated requirements (*Fiscal Management Act, Post-secondary Learning Act*) that institutions submit business plans and IAPs annually.

In addition, the CIP is a valuable information source and communication tool for both the government and institutions, which helps align the work of institutions with government priorities. CIPs help deepen the relationship, and ensure that collaborative work is oriented toward achievement of common goals.

Institutions are expected to post their CIP on the Campus Alberta Project Site (CAPS). As institutions are no longer expected to post the CIP on their institutional website, the ministry expects consultation on the document to be robust, and for that consultation to be outlined in the document itself.

Annual meetings with institutions will continue to be offered to institutions, and can include discussion of CIPs and the overall planning process if institutions choose. These discussions are an opportunity for Advanced Education to provide institutions with additional context to support planning and priority setting. The meetings also provide the opportunity for department officials to increase their understanding of the institution's academic priorities and

strategic initiatives for the next three years, as well as opportunities and risks emerging across Alberta's adult learning system.

Institutions may wish to submit a draft CIP document. Submissions should be made by posting it in their PSI/AE Shared Documents area on the CAPS and notifying ministry staff.

The Guidelines for the 2017-2020 CIPs contain changes to format and content. For this planning period, the main document will consist of five sections that provide a high-level overview of how each institution contributes to the adult learning system principles of accessibility, affordability, quality, coordination and (where possible) accountability. Institutions are also asked to provide information on goals and priority initiatives respecting student mental health. Institutions are to make every effort to conform to the page lengths recommended for each section.

As with the 2016-2019 CIP Guidelines, sections that fulfill legislated requirements and provide information needed by government will be in appendices. The format changes will allow the government to collect data and analyze trends that will inform our understanding of the adult learning system.

## CIP 2017-2020: Required Content

### Executive Summary

**(Length: 2 pages maximum)**

The Executive Summary provides a high level overview of the CIP's contents and identifies the institution's key strategic initiatives.

### Accountability Statement

The following statement, signed by the Board Chair, should be included in the CIP as a separate entity (i.e., not part of the Executive Summary or message from the Board Chair or President) to provide confirmation and visibility of the Board's accountability:

*"This Comprehensive Institutional Plan was prepared under the Board's direction in accordance with legislation and associated ministerial guidelines, and in consideration of all policy decisions and material, economic, or fiscal implications of which the Board is aware."*

### Institutional Context

**(Length: 2 pages maximum)**

Describe the institution's particular role in relation to the other members of the adult learning system and Alberta Innovates systems as identified in the following:

- Current mandate statement as approved by the Minister (not applicable for Independent Academic Institutions). Institutions should include at the end of the statement the following text "Approved by the Minister of Advanced Education" along with the date of approval.
- Mission statement (including for Independent Academic Institutions)

***If an institution wishes to change its mandate, it must work with Alberta Advanced Education through a separate process. Mandate change requests cannot be made through the CIP.***

### Consultation Process

**(Length: 3 pages maximum)**

Institutions should provide a description of the overall process they followed in developing their CIP. As part of the planning process, institutions are expected to consult with their stakeholders, including student groups, business and industry, research organizations, communities, government departments, and other post-secondary institutions. Internal consultation with academic and support staff is also an integral part of the CIP development process, and institutions are expected to provide details of these consultations. The CIP should

also include a description of any system-wide consultation and collaboration with other Alberta post-secondary providers and research organizations. Institutions should indicate how the outcome of both internal and external consultations has influenced the content of the CIP.

Institutions should also identify the major internal policy and planning documents that informed the CIP and outline the internal approval process that was followed before the final CIP was submitted to the Minister.

In keeping with their regional stewardship role, Comprehensive Community Institutions should outline the outcomes of their consultation with community adult learning providers, community groups, employers and school districts. All institutions should include a list of the stakeholders consulted during the CIP development process.

## **Goals, Priority Initiatives and Expected Outcomes (Length: 15 Pages maximum)**

This section should include an institution's goals, strategic priorities, expected outcomes and performance measures relating to the adult learning system principles of:

1. **Accessibility**, which means that every Albertan should have the same opportunity to get a post-secondary education. Accessibility also means that:
  - Learning opportunities are provided to all Albertans and accommodations are made for individuals who face barriers or who seek different paths to completion.
  - Indigenous students are provided the support and accommodations they need to be successful.
  - Students and parents alike can clearly navigate the path to career. This means having clear and easy access to the relevant information in planning post-secondary education.
  - Educational opportunities offered within a community support the needs of the community.
  
2. **Affordability**, which means that every Albertan should have the same opportunity to get a post-secondary education, regardless of financial circumstances. Affordability also means that:
  - Whether you are a recent high school graduate, someone looking to upgrade their skills or change careers, all Albertans should have the same access to adult learning opportunities.
  - Family or personal financial circumstances should not affect student access to learning opportunities.
  
3. **Quality**, which means that Albertans should get the best education possible here at home. Quality also means that:

- Students know that the education they receive is properly preparing them for further learning or the career path of their choice.
- Alberta graduates continue to make important contributions to Alberta's economy, society, culture and environment.
- High quality programs lead to national and international recognition of Alberta's teaching and research excellence.
- Researchers at Alberta's post-secondary institutions make important contributions to their field of study.
- Colleges, universities and polytechnics are innovation engines, and play a key role developing a more diversified and resilient economy.
- Students across the province have the supports and opportunities they need to move from high school to post-secondary.

4. **Coordination**, which means that Albertans should get full advantage from a diverse post-secondary system. Coordination also means that:

- There is a diversity of programming available across the entire learning continuum.
- There is coordination across the system to minimize duplication, allowing for the better use of existing resources.
- Resource allocations take into consideration the mandates and roles of each sector.
- There are clearly articulated roles for students, government, educators and providers within the system.
- There are distinct roles for each group of education providers, ensuring that the system can respond to all student needs regardless of their objectives.

**Accountability** is also a core principle that guides government's vision for post-secondary education. However, as the CIP is an accountability document (among other functions), institutions are not required to include goals related to accountability. Accountability initiatives or procedures can be included if institutions choose. **Accountability** means that post-secondary education providers must be accountable to students, the government and Albertans.

Accountability also means that:

- Students, parents and all Albertans have access to clear information related to the province's post-secondary institutions in a timely manner.
- The post-secondary system is built on strong partnerships and collaboration between all students, education providers, communities and government.
- Post-secondary institutions have strong, transparent and accountable governance policies and processes in place to ensure effective stewardship.
- Effective and active oversight of colleges, universities and polytechnics is in place to ensure that risks are being managed and that institutions are acting in the best interest of students, and their education and training.

- Post-secondary institutions are acting in fiscally responsible ways that acknowledge the defined link between public funding and priorities, while ensuring students can access education opportunities.

The Minister and Deputy Minister of Advanced Education have shared these principles with the Board Chairs and Presidents of the publicly-funded post-secondary institutions, and shared the Minister’s expectation that institutions will reflect and champion the principles in their work and CIPs.

For the 2017-2020 planning cycle, the ministry also expects institutions to include goals and priority initiatives related to **student mental health**, under the principle of accessibility.

Performance measures should be SMART (specific, measurable, attainable, realistic, and timely). A total of 10-15 goals or priority initiatives are recommended.

**Institutions are required to include, in their Annual Report, outcomes with respect to each goal and performance measure identified in the CIP.**

The expected outcomes reported on in the CIP should be linked to the institution’s specific mandate, and should focus on how the institution plans to increase affordability, accessibility, quality, and coordination (and accountability, if necessary) at an institutional level, and across the system.

Goals and initiatives should be drawn from information included in the appendices, and should feature goals and initiatives for programming, research, and capital, as well as community outreach, collaborations with other post-secondary institutions, Community Adult Learning providers, First Nations Colleges and the K-12 system, and initiatives targeted to underrepresented learners, as appropriate.

To ensure alignment with the Annual Report, goals, priority initiatives, expected outcomes and performance measures must be presented using this template:

| Type         | Description | Expected Completion Date |
|--------------|-------------|--------------------------|
| <b>Goals</b> |             |                          |
| G1           |             |                          |
| G2           |             |                          |

| <b>Priority Initiatives</b> |  |  |
|-----------------------------|--|--|
| P1                          |  |  |
| <b>Expected Outcomes</b>    |  |  |
| EO1                         |  |  |
| <b>Performance Measures</b> |  |  |
| PM1                         |  |  |

## Appendix A: Financial and Budget Information

### Budget Assumptions

Institutions should identify key assumptions underlying their budget projections, including key drivers of revenue and expense items. The budget must be realistic, yet conservative, and based on anticipated revenue and expense projections. Although institutions are no longer required to post their CIPs on their websites, they may still discuss any assumptions that may be considered sensitive and that they may not wish to identify within the CIP (e.g., anticipated salary settlements) in other discussions with ministry staff, including the annual institutional visit by staff.

The budget provided will be treated as an institution's official, board-approved budget. This budget will be used as a source of information on the financial operation of the institution and as the catalyst for ministry action regarding any anticipated deficits. Public institutions are responsible for advising the Minister of any significant current-year budget adjustments that are approved by their Board after the CIP has been submitted.

***This information will be used for consolidated budgeting purposes by the ministry and the Government of Alberta.***

### Statements of Expected Revenues and Expenses

Institutions must provide an upcoming year budget, subsequent two-year forecast statements of expected revenues and expenses, and a budgeted cash flow statement for the current budget year. The format of these statements should be consistent with that of the institution's Audited Financial Statements. The Statement of Revenues and Expenses should include expenses by both function and object. The budget included in the CIP must be the same as that reported in the budget column of the audited financial statements for the upcoming year.

### Future Accounting Changes

In June 2015, the Public Sector Accounting Board issued the following accounting standards:

- PS 2200 Related Party Disclosures and PS 3420 Inter Entity Transactions (Effective April 1, 2017)
- PS 3210 Assets, PS 3320 Contingent Assets and PS 3380 Contractual Rights (effective April 1, 2017)
- PS 3430 Restructuring Transactions (effective April 1, 2018)
- PS 3450 Financial Instruments (effective April 1, 2019)

The Management of each institution should assess the budget impact of these standards on the financial statements included in the CIP.

## Deficits

Legislation requires that a public institution's current-year deficit (an excess of expenses over revenues – accrual basis, not cash basis), be approved by the Minister prior to the final CIP submission. For this planning cycle, a current-year deficit is one for 2017/2018.

Before submitting their CIP, public institutions projecting a current-year deficit must apply through their Board Chair directly to the Minister for approval. Institutions must outline their plans for dealing with the deficit to ensure that it will not be ongoing. Institutions planning for a deficit should consider the additional time required for Ministerial approval of a deficit in order to meet CIP reporting deadlines. Early discussion with Advanced Education staff (see Contacts, page 23) is encouraged to facilitate the deficit approval process.

In reviewing applications for the approval of deficits, the Minister will consider a variety of factors including whether:

- The institution has sufficient restricted and unrestricted net assets to offset the deficit.
- The deficit is one-time and can be attributed to certain planned expenses. There is evidence that the deficit is not ongoing.
- The deficit can be attributed to an expense where there is a legislative plan for repayment such as the Universities' Academic Pension Plan.

Institutions need to demonstrate that their organization is sustainable in the long-term. As a result, the CIP needs to provide sufficient information and general context to demonstrate clearly that the institution is sustainable over time, including the steps the institution is taking to remain sustainable.

The CIP should also show that a plan is in place to address any short-term challenges that the institution may face. Institutions projecting deficits in future years must ensure that the CIP provides sufficient contextual information to explain the situation and the plan for its resolution. The Minister continues to expect that all institutions will balance their budget for the 2017/2018 fiscal year. Future year budgets will be incorporated in the ministry's, and Government of Alberta's, fiscal plan.

**Institutions are reminded that submitted CIPs that include current-year deficits that have not been previously approved by the Minister do not meet the provisions of legislation. The CIP is not the vehicle for institutions to request and obtain the Minister's approval of deficits.**

***If the institution does not have the permission of the Minister for the current year deficit or approval of revised mandates, it is not to submit the CIP.***

## **Tuition and Mandatory Fees**

For 2017/2018, regulated tuition and mandatory fees (including apprenticeship tuition) will continue to be frozen at public post-secondary institutions. However, information on tuition, including tuition projections as a component of revenues, and current mandatory non-instructional fees, should be included.

The Public Post-secondary Institutions' Tuition Fees Regulation states that institutions can charge a "differential or surcharge in fees that the Board of the institution may set for courses taken by individuals who are not Canadian citizens or permanent residents of Canada." Institutions should articulate their international student tuition fee policy.

## Appendix B: Enrolment Plan and Proposed Programming Changes

The CIP is expected to provide institutions' plans for significant shifts in their programming and enrolment mix. Information should be provided on new offerings at the program and specialization level planned for the next three to five years, as well as anticipated changes to current programming requiring ministry approval, including program of study changes, program transfers, suspensions and terminations. Institutions are asked to take a system approach in articulating how their proposed programming directions align with the institution's strengths, leverage investment, and relate to programming at other institutions.

Realistic, three-year Full-Load Equivalent (FLE) enrolment projections based on current and anticipated budgets and physical capacity should be outlined at the by program and program specialization within credential categories, including apprenticeship programs (where applicable). Institutions are also expected to provide, for immediate comparison purposes, actual and/or preliminary enrolment figures for the two years prior to the term covered by the CIP (that is, for 2015/2016 and 2016/2017).

Institutions are also required to include their three-year projections, at the program level by credential type, for international student enrolment in all programs where international student enrolment currently exceeds, or is expected to exceed, 15 per cent of the program's total enrolment. Institutions are also expected to reflect this enrolment as a percentage of total projected enrolment. The enrolment targets for international students should be clearly represented as a percentage of total projected enrolment by program. In addition, institutions need to describe how these enrolment percentages consider the institution's academic and service capacity while ensuring access for Albertan students is maintained.

Institutions should describe program plans that respond to learner demand and that impact or enhance the efficiency and effectiveness of the institution's programming. This will include plans for new programs or specializations, expansions, contractions, renewals, suspensions, terminations, and resource reallocations. Institutions should state their priorities and timelines with respect to the development and implementation of proposed new programs. Program delivery methodologies should be outlined (e.g., collaborative delivery, distance, satellite campuses, eCampusAlberta, brokering and offshore delivery). Institutions should also include strategies to enhance appropriate course transferability and learner pathways. Rationales should be consistent with GOA and institutional priorities, and programming plans should clearly demonstrate fit with the institution's ministry-approved mandate.

## Appendix C: Research, Applied Research and Scholarly Activities

Institutions undertaking pure research should describe their strategic research priorities, while other institutions may describe strategic priorities related to applied research and scholarly activity, if applicable. In these circumstances, institutions should also articulate how these relate to existing capacity, institutional goals, and current provincial outcomes which are:

- A strong economy;
- Effective resource management;
- Environmental stewardship; and
- A focus on supporting healthy Albertans in all of our communities.

These outcomes are reflective of new government direction, and have been updated from the 2012 Alberta Research and Innovation Plan.

Institutions that describe their research in this section should take a system approach in articulating how the research and innovation priorities build on the institution's particular strengths and relate to the strengths of other institutions and other Alberta research and innovation performers, identifying collaborative relationships where relevant. For example, institutions are encouraged to reflect efforts related to sharing of expertise and capacity (e.g., shared usage of core facilities).

Given that research and innovation priority themes may be at different scales and levels of maturity, institutions should describe the level of development (e.g. fully developed research program with complement of faculty, area of growth, potential for international excellence, etc.) and briefly indicate how the institution is supporting the development of the priority and its intended plans for enhancing or expanding capacity in each of the priorities. Institutions should also indicate how their research priorities and themes support identified goals and outcomes in the CIP context.

## **Appendix D: Community Outreach and Underrepresented Learners**

Community goals may include collaborative initiatives designed to enhance learner outcomes or to increase the efficiency and effectiveness of the institution's programs and services. Goals may relate to ensuring institutional returns to the community and enhancing community investment in the institution. These goals and measures could refer to the institutions' learning partners, and for Comprehensive Community Institutions, should refer to regional access to learning opportunities, including literacy, Adult Basic Education, Academic Upgrading, dual credit, and trades training.

In addition, Comprehensive Community Institutions should describe plans relating to regional stewardship using available resources. The institutions should identify how stewardship is currently being resourced (e.g., regional representatives or centralized services to the community), and their proposed response to foundational learning needs (adult basic education and/or academic upgrading). For the purposes of the CIP, regional stewardship means community identified learning needs are addressed through leadership, collaboration, and sustained effort. This endeavor includes working with Community Adult Learning Program-funded organizations and other adult learning stakeholders to create strong networks and collaborations that build a range of access points and pathways for learners to meet credentialed and non-credentialed needs. This is particularly important as it relates to literacy and foundational learning goals and needs, and transitioning learners to further learning and employment.

Specific initiatives for supporting foundational learners, Indigenous learners, learners with disabilities, rural learners, and learners from low-income backgrounds should be discussed in this section.

Information should also be provided on specific policies for Indigenization plans at the institution. If applicable, information should be provided on any transfer agreements that exist between the institution and First Nations Colleges.

## **Appendix E: Internationalization**

In addition to the international enrolment targets included in Appendix B, institutions are asked to describe their strategic and operational goals for international education. The ministry also wants to ensure that activities related to international education are in keeping with the principles of accessibility and quality. Institutions should, therefore, report any significant activities that may potentially impact access for Alberta learners or those that carry additional reputational and financial risk, such as new or ongoing off-shore/for-profit partnerships, cross-border delivery of Alberta credentials, or other international ventures that draw on Albertans' investment in its post-secondary institutions.

## Appendix F: Capital Plan

### a. Public Institutions

The CIP should include an overview of the institution's capital plan that supports its mandate and enrolment, research, and program plans, as well as the goals of affordability, accessibility, quality, coordination, and accountability. It is expected that the CIP will set out, at a high level, the institution's priority projects.

Priority projects are:

- Projects that **must** proceed in the next three to five years to address critical infrastructure and capacity needs.
- Projects that are in excess of \$2.5 million or 50 per cent of the institution's Infrastructure Maintenance Grant, whichever is larger.

Priority projects may arise because of an institution's:

- Future access and quality goals that support the delivery of high demand programs.
- Infrastructure requirements to support research goals as outlined in the institution's CIP and in support of government's research outcomes.
- Critical health and safety issues.
- Critical information technology infrastructure.

In addition to identifying and sequencing the priority capital projects in their CIP, institutions should also submit a preliminary business case to the ministry for the top three overall priority projects. These documents are supplemental to the CIP, and are required should the institution want the projects to be taken into consideration.

Institutions should not anticipate that additional provincial funds will be available during the three-year planning cycle, with the possible exception of one-time targeted allocations. Although each institution may include as many capital projects as it wishes, the department will only include up to three projects from any one institution in the ministry's capital submission to Treasury Board. Should one-time targeted funding become available, the department will focus on preservation and renewal projects, and expansion as needed, to support priority programs.

For each capital priority, institutions must provide a brief description of the project including the project scope, estimated cost, proposed timeline, and how the project relates to the institution's CIP goals. Institutions must provide strategies for funding their capital projects, and specify if a project is funded by non-government sources. Institutions must also submit their priority

projects through Alberta Infrastructure's Building and Land Information Management System (BLIMS). Institutions must ensure consistency of information between their CIP, including preliminary business cases, and BLIMS submissions.

The department expects that as part of the CIP planning cycle, institutions will also report projects that government has already approved and projects the institution has resources to implement on its own, together with the corresponding cash flows.

The department expects that as part of the CIP planning cycle, institutions will also report capital projects using the following two categories, together with their corresponding annual cash flows:

- Projects that government has already approved, and
- Projects the institution has resources to implement on its own (should include all sources of funding, except Government of Alberta funding).

At minimum a three year plan must be reflected.

*This information will be used for consolidated budgeting purposes by the ministry.*

#### **b. Independent Academic Institutions**

Independent Academic Institutions are not eligible to receive capital funding from government. However, they are requested to provide information on their plans for capital expansion and renovation. In identifying their capital projects and priorities, Independent Academic Institutions may wish to include the relevant elements of the project descriptions outlined above. Independent Academic Institutions are not required to submit to BLIMS.

## **Appendix G: Information Technology**

Institutions should outline the additional/incremental information technology resources required to support their priorities and identify the associated costs, along with proposed funding sources.

## CIP TIME LINES

| Submission Deadlines |               |
|----------------------|---------------|
| All Institutions     | June 30, 2016 |

## COPIES

|                |                         |   |
|----------------|-------------------------|---|
| Printed Copies | One (1) hard copy       | Submitted under the Board Chair's signature to the Minister of Advanced Education, with a carbon copy to the Deputy Minister of Advanced Education. |
|                | Four (4) hard copies    | Sent to David Williams, Executive Director, Campus Alberta, Advanced Education  |
| Electronic     | One (1) electronic copy | Posted to the Campus Alberta Planning System (CAPS). <sup>1</sup>   |

The copy sent to the Minister represents the Board's official submission as required in legislation. The Minister will respond to the Board Chair.

Of the four copies sent to the Executive Director, Campus Alberta, one copy will be distributed to Infrastructure, one copy will be distributed to Economic Development and Trade, and one copy will be placed in the Alberta Government Library for reference purposes. The remaining copy will be retained for department use.

<sup>1</sup> See <http://aet.alberta.ca/post-secondary/funding/supportsinstitutions/resources.aspx>. Please note that the process for obtaining CAPS access requires 5-10 working days from the initial request being received by AE.

## CONTACTS

For assistance in preparing the Comprehensive Institutional Plan, institutions are encouraged to contact:

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For additional information on matters relating to budgets or deficit situations, institutions should contact:

**Ms. Leila Williams, CMA**

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