



**University  
of Victoria**

**Date:** February 21, 2017  
**To:** Members of the Board of Governors and Senate  
**From:** Prof. Jamie Cassels, President  
**Re:** 2016 Policy Review Annual Report

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## **1. Introduction**

The university's *Policy on University Policies and Procedures* (GV0100) was approved by Senate and the Board of Governors in order to establish a consistent framework for the development and review of university policies and procedures. The goal of the policy framework is to create and maintain a collection of user-friendly policies and procedures that are current and relevant to the needs of the university community.

This report responds to the requirement in the *Policy on University Policies and Procedures* to report annually to Senate and the Board of Governors on the development and review of university policies and procedures. S. 20.00 of the Policy states:

*The President will report annually to the Board of Governors and the Senate on University Policies developed and reviewed during the year and the action taken or recommended.*

The report also identifies university policy related priorities for 2017.

## **2. Update on the Implementation of the Policy Framework**

Overall, the university continued its progress in 2016 in implementing the university policy framework. The responsibility for drafting of new policies and the revising of existing policies is the responsibility of the Designated Executive Offices (the president's office or individual vice-presidents' offices). The University Secretary's office continues to coordinate policy development and ensures new policies and policy changes are consistent with the *Policy on University Policies and Procedures*.

In 2016, work continued on two policy related projects:

- (a) a project initiated in December 2015 to support the policy review and renewal work of the university including the work of the Designated Executive Offices. A policy officer was engaged and has been actively involved in working with the Designated Executive Offices to assist them in the review of policies within their portfolios.
- (b) a project to review the university's privacy, records management and information security policies. In 2012 the university committed to review these on a cyclical basis (every three years).

The consultants engaged to carry out the review produced a report that detailed a list of minor recommended changes as well as two main areas that required attention:

- The development of an internal guide for the use of cloud-based technology; and
- Developing and publicizing information about the privacy complaint process.

The consultants' report also pointed out the need to embed privacy impact assessments (PIAs) into university policies and procedures, as well as the need for a guide to completing PIAs.

Based on the recommendations a number of revisions were proposed to the privacy and records management policies and procedures. A consultation plan has been developed including consultation with subject matter experts and the university community. Board of Governors' approval of the revisions will be sought in the early Spring. Development of cloud-based services guidelines and a summary of the privacy complaints process has begun. Work on the development of guidelines for the privacy impact assessment will start in 2017.

### 3. Summary of Policy Activities from February 1, 2016 to December 31, 2016

#### (a) *New Policies and Procedures Developed or Under Development*

Since February 1, 2016, two (2) new university policies or procedures were developed and approved.

Policy or Procedure	Effective Date
<b>1. Research Funding Management and Financial Accountability policy and associated procedures (FM5405)</b>	Effective Date: October, 2016 New policy and procedures to clarify the management of research grants and deal with unauthorized over-expenditure.
<b>2. Procedures for Interim Executive Appointments</b>	Effective Date: July, 2016 Revised: November, 2016

The following new policies and procedures continue to be under development:

Policy or Procedure	Purpose and Rationale for Development
<b>1. Procedures for the Appointment, Review and Re-Appointment of Associate Deans (consolidation) (NEW)</b>	Under development. New policy to consolidate the appointment procedures for Associate Deans into one "umbrella" policy, similar to the consolidated decanal policy GV0450.
<b>2. Booking of University Facilities or Space for Secondary Purposes policy (NEW)</b>	Under development. New policy to replace the following existing booking policies BP3400, BP3405, BP3410, BP3415, BP3420, BP3425, BP3430, BP3435
<b>3. Communication Policy (NEW)</b>	Under development. New policy to replace the Distribution of News and Information Publications on the Campus policy (IM7400) and provide procedures for broadcast emails (currently in policy IM7200) and brand guidelines (currently Licensing Program policy AD2215).

<b>Policy or Procedure</b>	<b>Purpose and Rationale for Development</b>
<b>4. Copyright Compliance and Administration Policy (NEW)</b>	Under development. New policy to replace the Copyright and Computer Programs (IM7300) and Copyright and Use of Video Materials (IM7305) policies. Once completed, the Fair Use Guidelines will be moved to this policy from the Records Management Policy (IM7700).
<b>5. Procedures for the Imaging of University Records (NEW)</b>	New procedure to be attached to the Records Management Policy, which will ensure that imaging programs will copy source records accurately, reliably, and in compliance with legal and industry standards.
<b>6. Poster, Banner and Handbill Guidelines (NEW)</b>	Under Review. Revised document will update guidelines on the posting of posters/banners on university property; the use of university Notice Boards; the distribution of handbills; and chalking on university property.
<b>7. Residence Policy (NEW)</b>	Under development. New policy to replace existing Student Residences policy (BP3500), Residence Services Budget Policy (FM5515), and Operation of Family Housing Policy (BP3505).
<b>8. University-Sponsored Off Campus Activities Risk Management Policy (NEW)</b>	Under development. New policy to replace existing Fieldwork and International Travel Risk Management Policy (AD2210) and Guidelines for Participation in International Activities (AD2200).

(b) *Existing Policies and Procedures Under Review*

The following existing policies and procedures are under review:

<b>Policy or Procedure</b>	<b>Purpose and Rationale for Development</b>
<b>1. Accommodation for Students on Days of Religious Observance (AC1210)</b>	Will be integrated into the academic Calendar. Scheduled for completion: May 2017
<b>2. Capital Expenditure on Physical Plants (FM5205)</b>	Under Review. Scheduled for completion: 2017
<b>3. Chairs and Departments or Divisions Appointment Procedures (GV0700)</b>	Under Review. Scheduled for completion: 2017 – subject to consultations
<b>4. Communicable Diseases Policy (SS9300)</b>	Awaiting Approval. Scheduled for completion: April 2017
<b>5. Employment Accommodation Policy (HR6115)</b>	Under Review. Scheduled for completion: 2017 – subject to consultations
<b>6. Establishment and Review of Research Centres (AC1135)</b>	Under Review. Scheduled for completion: 2017
<b>7. Establishment of Certificate and Diploma Programs</b>	Under Review. Scheduled for completion: 2017
<b>8. Examinations and Grades (AC1125)</b>	Targeted for integration into Academic Calendar. Scheduled for completion: 2017
<b>9. External Research Funding Agreements (RH8200)</b>	Under Review. Scheduled for completion: 2017
<b>10. Guidelines on Preferential or Limited Hiring (HR6110)</b>	Under Review. Scheduled for completion: 2017
<b>11. Indirect Costs of Research (FM5400)</b>	Under Review. Scheduled for completion: 2017
<b>12. Information Security policy (and associated Procedures) (IM7800)</b>	Under Review. Scheduled 3- year review.
<b>13. Intellectual Property (GV0215)</b>	Under Review. Scheduled for completion: 2017
<b>14. Political Leave Policy (HR6425)</b>	Under Review. Scheduled for completion: 2017
<b>15. Prevention of Violence in the Workplace (SS9120)</b>	Under Review. Scheduled for completion: 2017
<b>16. Procedures for the Appointment and Re-</b>	Under Review. Scheduled for completion: 2017

Policy or Procedure	Purpose and Rationale for Development
<b>Appointment of Research Centre Directors</b>	
<b>17. Professional Development Expenses – Regular Faculty Members or Librarians (HR6410)</b>	Under Review. Scheduled for completion: 2017
<b>18. Protection of Privacy policy (and associated Procedures) (GV0235)</b>	Under Review. Scheduled 3-year review.
<b>19. Purchasing Services Policy (FM5105)</b>	Under Review. Scheduled for completion: 2017
<b>20. Records Management policy (and associated Procedures)(IM7700)</b>	Under Review. Scheduled 3-year review.
<b>21. Research Grants in Lieu of Salary Policy (HR6405)</b>	Under Review. Scheduled for completion: 2017
<b>22. Research Policy (RH8100)</b>	Under Review. Scheduled for completion: 2017
<b>23. Research/Teaching Involving Animals Policy (RH8110)</b>	Under Review. Scheduled for completion: 2017
<b>24. Retention of External Legal Counsel (AD2100)</b>	Under Review. Scheduled for completion: 2017
<b>25. Risk Management Policy (GV0225)</b>	Under Review. Scheduled for completion: 2017
<b>26. Specialist/Instructional Appointments (HR6315)</b>	Under Review. Scheduled for completion: 2017
<b>27. Sustainability Policy (GV0800)</b>	Reviewed in 2016. The Board of Governors approved the policy changes at their January 2017 meeting
<b>28. Teaching and Organization of Courses &amp; Programs (AC110)</b>	Senate approved rescinding this policy at their January 2017 meeting.
<b>29. Title of Emeritus or Emerita (AC1140)</b>	Under Review. Scheduled for completion: 2017
<b>30. Use of Vehicles and Parking on Campus (BP3200)</b>	Under Review. Scheduled for completion: 2017
<b>31. Violence and Threatening Behaviour (SS910)</b>	Under Review. Scheduled for completion: 2017

(c) *Revised Policies and Procedures*

Since February 1, 2016, the following university policies and procedures were revised:

<b>Policy or Procedure</b>	<b>Summary of Amendments</b>
<b>1. Associate Dean of Education (Research and Graduate Programs) (GV0610)</b>	Minor Editorial Changes Effective Date: July, 2016
<b>2. Associate Dean of Education (Undergraduate) (GV0615)</b>	Minor Editorial Changes Effective Date: July, 2016
<b>3. Procedures Regarding the Use of Broadcast Email and Other Mass Communications (IM7200)</b>	Revised Effective Date: March, 2016
<b>4. Policy on the Distribution of News and Information Publications on Campus (IM7400)</b>	Revised Effective Date: December, 2016
<b>5. Flag Policy and Procedures (AD2300)</b>	Revised Effective Date: February, 2016
<b>6. Internal Audit Policy (GV0220)</b>	Revised Effective Date: May, 2016
<b>7. Motor Vehicle Policy (AD2315)</b>	Revised Effective Date: April, 2016
<b>8. Professional Development Expenses and Leave: Professional Employees' Association Staff (HR6420)</b>	Revised Effective Date: June, 2015
<b>9. Purchasing Services Policy (FM5105)</b>	Revised: Effective Dates: May, 2016 and November, 2016
<b>10. Signing Authority (FM5100)</b>	Revised: Effective Date: November, 2016

(d) *Rescinded Policies and Procedures*

Since April 1, 2015, the university rescinded the following policies and procedures that no longer met the university policy standard or had been superseded by other policies or documents.

<b>Policy or Procedure</b>	<b>Rationale for Rescinding</b>
<b>1. Policy on Conferences Supported by UVic (AD2320)</b>	Rescinded – The policy did not meet the university policy standard pursuant to the <i>Policy on University Policies and Procedures (GV0100)</i> . In order to meet the university policy standard, a policy must be current and relevant. University policies must also be principle-based statements to be followed in carrying out the activities of the university and must have broad application throughout the university.
<b>2. Waste Management Policy (BP3600)</b>	Rescinded – The policy did not meet the university policy standard pursuant to the <i>Policy on University Policies and Procedures (GV0100)</i> . In order to meet the university policy standard, a policy must be current and relevant. University policies must also be principle-based statements to be followed in carrying out the activities of the university and must have broad application throughout the university.

(e) *Policies with Transferred Approving Authority*

In 2016 no approving authorities were transferred based on current organizational responsibilities.



#### 4. University Policy Goals and Priorities for 2017

- (a) *Finalize University Policies Under Review – brought forward from previous years (2011-2016)*

Policy or Procedure	Status
<p><b>1. University Facility and Space Booking policies:</b></p> <ul style="list-style-type: none"> <li>(a) External Bookings of University Space (BP3400)</li> <li>(b) Use of University Facilities of Academic Departments by External Organizations (BP3405)</li> <li>(c) University Centre Foyer Booking (BP3410)</li> <li>(d) University Centre A180 Booking (BP3415)</li> <li>(e) Operation of the Cadboro Commons Building (BP3420)</li> <li>(f) Booking Policy - Residence &amp; Food Facilities (BP3425)</li> <li>(g) Booking of Physical Education, Athletics and Recreational Facilities (BP3430)</li> <li>(h) University Centre Auditorium: General Use &amp; Booking (BP3435)</li> </ul>	Under review as part of project to review and combine the university's booking policies. Targeted for completion: 2017
<p><b>2. Appointment of Non-Academic Associate Vice-Presidents and Non-Academic Assistant Vice-Presidents (GV0345)</b></p>	Under review. Targeted for completion: 2017
<p><b>3. Appointment and Review of the Head of the Division of Medical Sciences (GV0500)</b></p>	Targeted for completion: 2018
<p><b>4. Appointment and Review of Research Centre Directors (GV0705)</b></p>	Under review. Targeted for completion: May 2017
<p><b>5. Auditor Independence: Retention of External Auditors for Audit, Tax and Other Non-Audit (GV0230)</b></p>	Targeted for completion: January 2017

Policy or Procedure	Status
6. <b>Conflict of Interest and Confidentiality policy (GV0210)</b>	Targeted for completion: 2018
7. <b>Determination of Employment Relationship (HR6325)</b>	Completion 2017 – subject to consultations
8. <b>Discrimination and Harassment Policy (GV0205)</b>	Targeted for completion: 2017
9. <b>Educational Services Contract (AC1100)</b>	Targeted for completion: 2018
10. <b>Establishment of Diploma and Certificate Programs (AC1135)</b>	Targeted for completion: 2018
11. <b>Establishment and Review of Research Centres (RH8300)</b>	Under review. Targeted for completion: 2017
12. <b>External Research Funding Agreements (RH8200)</b>	Under review. Targeted for completion: 2017
13. <b>Indirect Costs of Research (FM5400)</b>	Under review. Targeted for completion: 2017
14. <b>Intellectual Property (GV0215)</b>	Completion 2017 – subject to consultations
15. <b>International Fieldwork and Travel Policy (AD2210)</b>	Under review. Targeted for completion: 2017
16. <b>Key and Access Card (BP3125)</b>	Targeted for completion: 2017
17. <b>Liquor Policy (AD2400)</b>	Targeted for completion: 2017
18. <b>Prevention of Violence in the Workplace (SS9120)</b>	Targeted for completion: 2017
19. <b>Research Policy (RH8100)</b>	Under review. Targeted for completion: 2017
20. <b>Research Grants in Lieu of Salary (RH8205)</b>	Targeted for completion: 2017
21. <b>Risk Management Policy (GV0225)</b>	Targeted for completion: 2017
22. <b>Statement of Policy Regarding Deans of Faculties (GV0660)</b>	Under review. Completion: 2017 – subject to consultations
23. <b>Student Residences related policies:</b> (a) Student Residences Policy (BP3500) (b) Operations of Family Housing Policy (BG3505) (c) Residence Services – Budget Policy (FM5515)	Completion delayed. Targeted for completion: 2017

(b) *University Policies/Projects Targeted for Review in 2017*

<b>Policy or Procedure</b>	<b>Status</b>
<b>1. Appointment of the Chancellor (GV0295)</b>	Targeted for completion: 2017
<b>2. Appointment of the Vice-President Academic and Provost (GV0305)</b>	Targeted for completion: 2017
<b>3. Appointment and Review of Research Centre Directors (GV0705)</b>	Under review. Targeted for completion: 2017.
<b>4. Audio Visual Maintenance Services Policy (AD2510)</b>	Targeted for completion: 2018
<b>5. Casual Employment of Students (HR6300)</b>	Targeted for completion: 2018
<b>6. Duties and Responsibility of Research Centre Directors (GV0715)</b>	Targeted for completion in June 2019 (to be completed as part of Collective Agreement negotiation)
<b>7. External Research Funding Agreements (RH8200)</b>	Under review. Targeted for completion: 2017
<b>8. Indirect Costs of Research (FM5400)</b>	Under review. Targeted for completion: May 2017
<b>9. Information Security Policy and associated Procedures (IM7800)</b>	Under Review. Targeted for completion: Spring, 2017
<b>10. Keys and Access Card Control (BP3125)</b>	Targeted for completion: 2017
<b>11. Libraries Loan Policy (IM7600)</b>	Targeted for completion: 2018
<b>12. Post Doctoral Fellows Policy (HR6310)</b>	Targeted for completion: 2018
<b>13. Professional Development Expenses: Excluded Management Staff (HR6400)</b>	Targeted for completion: 2018
<b>14. Protection of Privacy Policy and associated Procedures (GV0235)</b>	Under Review. Targeted for completion: Spring, 2017
<b>15. Records Management Policy and associated Procedures (IM7700)</b>	Under Review. Targeted for completion: Spring, 2017
<b>16. Research Policy (RH8100)</b>	Under review. Targeted for completion: 2017

Policy or Procedure	Status
17. <b>Research or Teaching Involving Animals (RH8110)</b>	Under review. Targeted for completion: 2017
18. <b>University Regulations for Research Involving Humans (RH8105)</b>	Under review. Targeted for completion: 2018

(d) *Other Policy Related Priorities*

Other university policy-related priorities for 2017 include:

- continue to identify and rescind or relocate university policies and procedures that no longer meet the university policy standard; and
- continue to analyze and determine where additional new university policies and procedures are required and where related policies can be consolidated.