



SUBJECT	POLICY PRIORITIES – AUDIT COMMITTEE
SUBMITTED TO	AUDIT COMMITTEE
MEETING DATE	September 17, 2024
SESSION CLASSIFICATION	Recommended session criteria from Board Meetings Policy: OPEN
REQUEST	For information only - No action requested
LEAD EXECUTIVE	Hubert Lai, K.C., University Counsel
SUPPORTED BY	Matthew Murray, Legal Counsel

PRIOR SUBMISSIONS

The subject matter of this submission has been considered previously by the Audit Committee in [September 2022](#) (OPEN SESSION).

EXECUTIVE SUMMARY

With a \$3.8 billion annual operating budget, 22,000 employees, and 73,000 students, UBC is a complex organization with a myriad of diverse operational requirements. A cornerstone to its efficient operations is a robust set of Board Policies to regulate the conduct of its faculty, staff and students. This is an update on the current state of Board Policies and provides a prioritized list of upcoming policies for which proposals are to be developed.

Board Policies are regulatory instruments that direct the plans, decisions and actions of UBC faculty, staff and students. Accordingly, maintaining relevant and up-to-date Board Policies is essential. Developing thorough, well-considered policy proposals is far more than a drafting exercise. The process normally includes a number of important steps, including environmental surveys, drafting, committee work, community consultation, and Board approval. Given the time and resources necessary to complete these steps, developing a policy proposal typically takes at least six months. Please see Supplemental Materials 1 for a flowchart describing the process.

Since the Board of Governors normally transacts regular business at only four meetings per year and the practice is to undertake community consultation for most policies, appropriate prioritization of policies is critical.

Overall Status

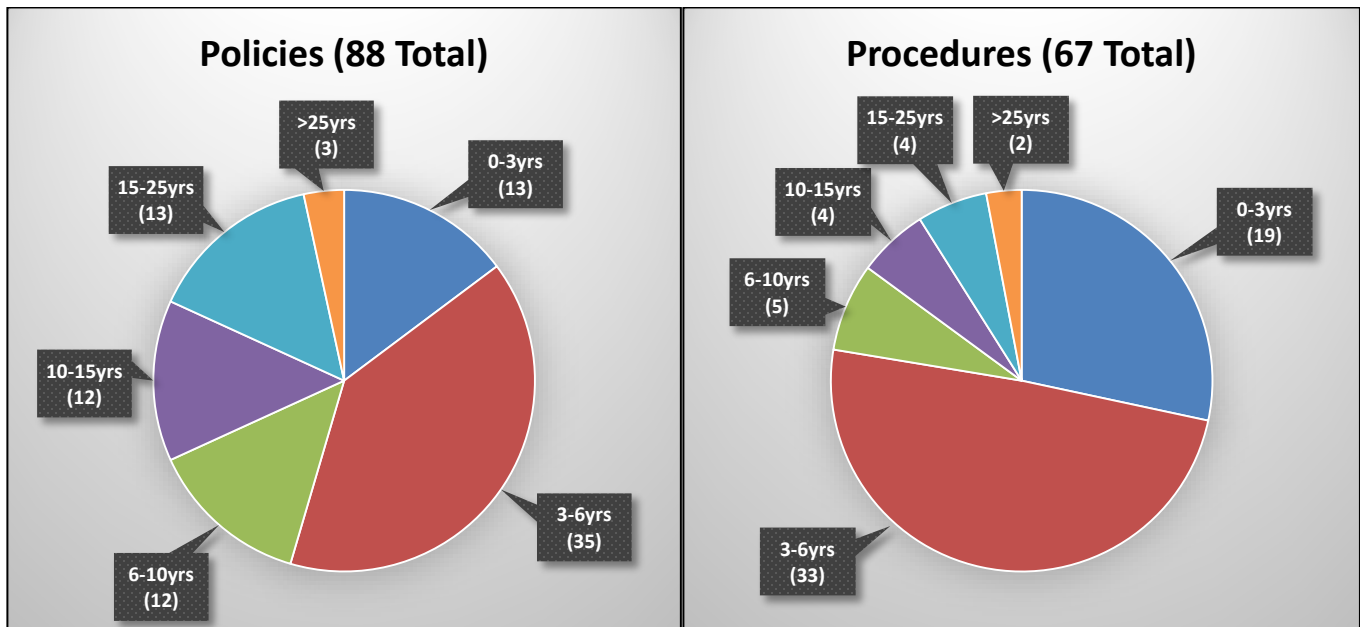
UBC has a total of 88 Board Policies (including the PIDA Policy (SC19) that was approved by the Board in June and which will come into effect in December) which govern the operations and management of the University. This is a significant reduction in the volume of Board Policies, which once numbered 125. In addition, three Board Policies are being considered for repeal by the spring of 2026. By keeping the scope of the Board Policies focused and keeping the drafting as concise as possible, the Board Policies themselves have been also considerably reduced in overall length. Having a more focused collection of policies improves the ability of users to familiarize themselves with the Board Policies, understand what they need to do, and keep up to date on ongoing changes. It also streamlines the process of reviewing and ensuring the ongoing currency and relevancy of the Board’s Policies.

Over the previous five calendar years, the Board has received an average of 11 submissions per year from the Office of the University Counsel regarding policy proposals. Of these 11 submissions per year, an average of 5 submissions have been for the Board’s information and input prior to community consultation and an average of 6 submissions have been for the Board’s approval. (This does not include the average of 5 submissions per year to report on changes to Procedures that have been approved by the President.)

The Board’s portfolio of Policies continues to be current and meet the ongoing needs of the University. All of the Board Policies and Procedures have been reviewed biennially. Due to the regularity of these reviews, any Policies or Procedures that require changes are identified and attended to in a timely manner. As a result, during each review, a relatively small proportion of the Policies is identified as requiring new changes. While all of the Board Policies were just reviewed in the summer of 2024 (and previously in 2022, 2020, etc.), many Policies and Procedures have not required changes. As at September 2024, the average times since the Policies and Procedures were last changed are 8.9 years and 6.2 years, respectively. The following table shows the distribution of Policies and Procedures since they were last changed:

0-3 years since last changed:	13 Policies and 19 Procedures
3-6 years since last changed:	35 Policies and 33 Procedures
6-10 years since last changed:	12 Policies and 5 Procedures
10-15 years since last changed:	12 Policies and 4 Procedures
15-25 years since last changed:	13 Policies and 4 Procedures
More than 25 years since last changed:	3 Policies and 2 Procedures

The following charts illustrate the same information graphically:



Policy Priorities

For each Board Policy, responsibility for Board oversight has been delegated to the appropriate Board Committee. In addition, responsibility for the administration of each Board Policy has been assigned to one or more members of the University Executive who are identified as the “Responsible Executive” for the Board Policy.

The Office of the University Counsel maintains a file of input received from the community and other sources about each Board Policy and uses this information to help prioritize policy work. In addition, every two years, a comprehensive redevelopment prioritization review has been undertaken with all of the members of the UBC Executive Team and their portfolios. That biannual Executive review was most recently undertaken in the summer of 2024.

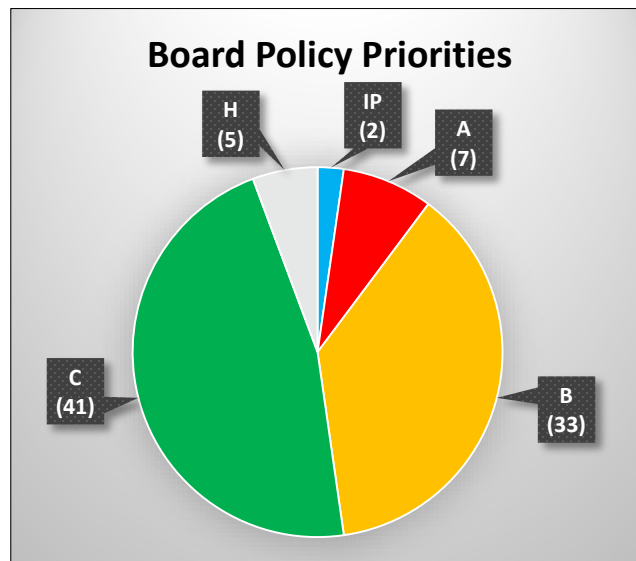
All of the input received was considered and incorporated into the consolidated policy priorities list set out in Supplemental Materials 2, which includes the date when each Policy and any associated Procedures were last changed, and a priority rating that reflects the urgency of developing a policy proposal. For the ease of reference of the Audit Committee, a list of the policies that have been assigned to this Committee has been extracted from Supplemental Materials 2 and is set out in Supplemental Materials 3.

That policy priorities list is a working document only and is subject to change on an ongoing basis. Executives and/or Board Committees may request that adjustments be made to the priorities of a particular policy for which they are responsible.

Out of the Board’s 88 Policies, the distribution of priority ratings is as follows:

Priority IP (Currently in progress):	2
Priority A (Urgent and requires immediate attention):	7
Priority B (Out of date but not causing operational or other problems):	33
Priority C (No issues have been identified):	41
Priority H (On hold pending further direction from the Responsible Executive):	5

The distribution amongst these priority ratings is shown graphically in the following pie chart:



The following table shows the number of policies that have been assigned to each Board Committee listed by their priority status.

Responsible Board Committee	IP Policies	Priority A Policies	Priority B Policies	Priority C Policies	On-Hold Policies	Total
Audit	0	2	5	3	1	11
Employee Relations	1	0	13	8	2	24
Executive	1	1	2	7	0	11
Finance	0	0	4	6	2	12
Governance	0	0	0	2	0	2
Learning & Research	0	4	6	7	0	17
Property	0	0	3	8	0	11
TOTAL	2	7	33	41	5	88

Outlook

In the 2024 calendar year, it is expected that proposals for 4 Board Policies will be submitted to the Board for information and input prior to community consultation and that proposals for 5 Board Policies will be submitted to the Board for approval.

In the 2025 calendar year, it is expected that proposals for a similar number of Board Policies will be submitted to the Board.

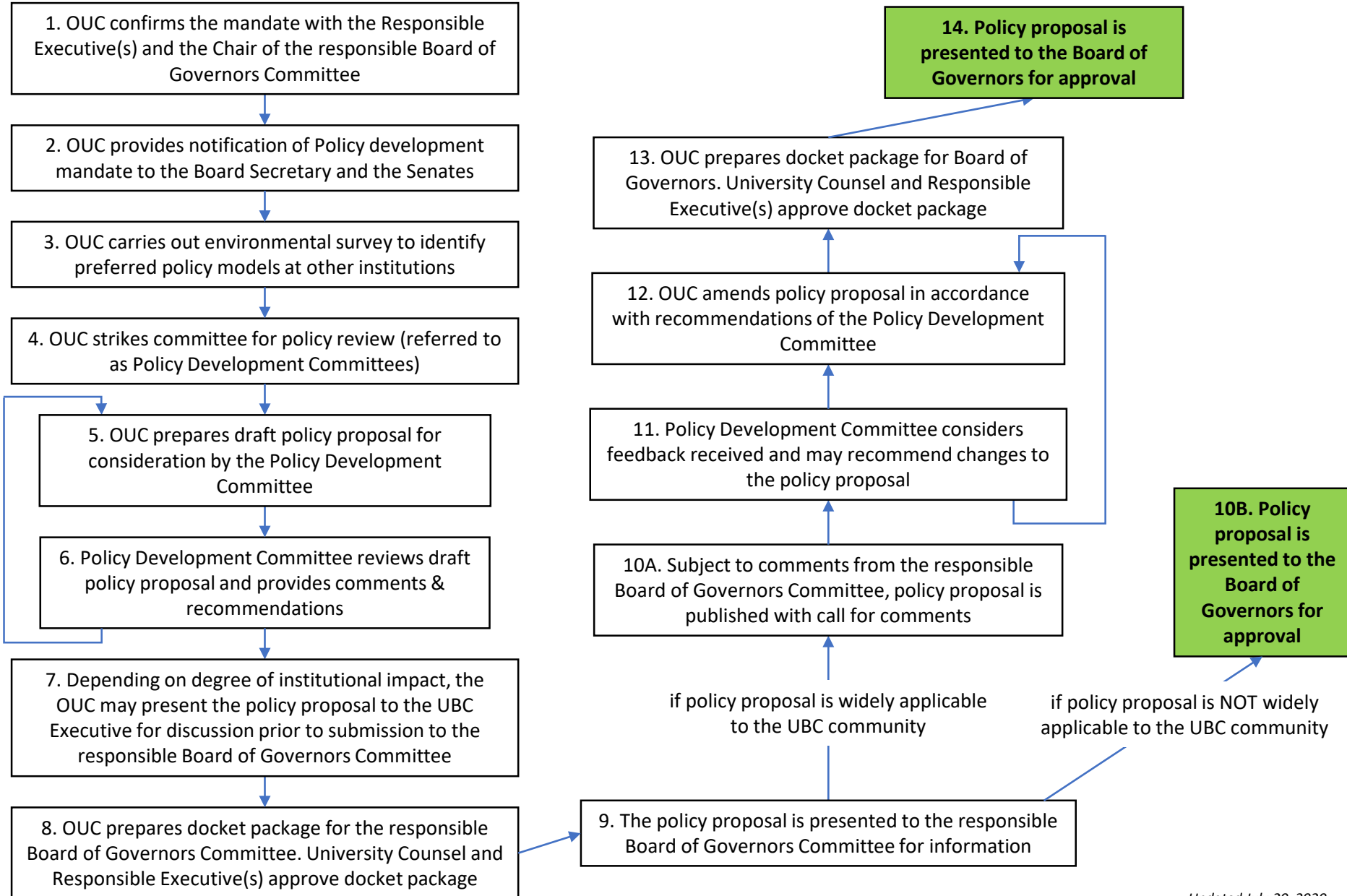
Moving forward, the Office of the University Counsel will be shifting from a biennial cadence for reviewing Policy priorities to a triennial cadence. Most of UBC's Canadian peer institutions conduct their reviews on a five- to ten-year cadence. A triennial cadence will be better aligned with the rhythm of work cycles within the various portfolios across UBC and will remain well within the maximum of five years between reviews required under UBC's Regulatory Framework Policy (GA2).

SUPPLEMENTAL MATERIALS (optional reading for Governors)

1. Policy Development Process Flowchart
2. List of all Board Policies and Distribution by Priority Ranking
3. List of all Board Policies Assigned to the Audit Committee

GENERAL POLICY DEVELOPMENT FLOWCHART

Supplemental Material 1



Board Policy Priorities - Current as at September 1, 2024

Policy No.	Policy Title	Policy Last Updated	Years Since Policy Last Updated	Procedures Last Updated	Years Since Procedures Last Updated	Current Priority	Responsible Board Committee
AP1	Retired Faculty Appointment Policy	Jun-13	11.25	Sep-19	5.00	IP	ERC
SC17	Sexual Misconduct Policy	Sep-20	4.00	Jul-20	4.17	IP	EC
UP11	Deaccessioning Policy	May-04	20.33	Sep-19	5.00	A	LRC
GA5	Vancouver Archives Policy	Jun-05	19.25	Jun-05	19.25	A	LRC
HR1	CV Policy	Jun-05	19.25	N/A	N/A	A	LRC
GA4	Records Management Policy	Sep-19	5.00	N/A	N/A	A	AC
SC7	Discrimination Policy	Sep-19	5.00	Apr-19	5.37	A	EC
SC15	Financial Investigations Policy	Sep-19	5.00	Jan-22	2.59	A	AC
SC14	Information Systems Policy	Dec-21	2.75	N/A	N/A	A	LRC
UP3	Surplus Equipment Policy	Jan-93	31.67	Jan-93	31.67	B	FC
HR4	Sick Leave Policy	Jun-05	19.25	N/A	N/A	B	ERC
HR8	Study Leave Policy	Jun-05	19.25	N/A	N/A	B	ERC
SC4	Environmental Protection Policy	Jun-05	19.25	Sep-19	5.00	B	AC
UP7	Pest Control Policy	Jun-05	19.25	Jun-05	19.25	B	AC
UP8	Signage Policy	Jun-05	19.25	N/A	N/A	B	PC
FM4	Research Over-Expenditure Policy	Jul-05	19.17	N/A	N/A	B	FC
SC12	Students Abroad Policy	Feb-10	14.58	Sep-19	5.00	B	LRC
AP4	Faculty Term Appointments Policy	Sep-10	14.00	Sep-10	14.00	B	ERC
AP10	Postdoctoral Fellows Policy	Apr-12	12.42	Apr-12	12.42	B	LRC
FM7	Contract Employees Fund Policy	Apr-12	12.41	Sep-19	5.00	B	ERC
LR9	Human Research Policy	Jun-12	12.25	Jun-12	12.25	B	LRC
HR2	Political Leave Policy	Apr-13	11.42	Sep-19	5.00	B	ERC
LR12	Teaching Materials Policy	Apr-15	9.42	N/A	N/A	B	LRC
SC16	Video Cameras Policy	Feb-16	8.58	Feb-16	8.58	B	AC
LR2	Research Policy	Apr-16	8.38	Sep-19	5.00	B	LRC
HR9	Reduced Work Policy	Dec-16	7.75	Dec-16	7.75	B	ERC
FM10	Retained Risk Policy	Feb-17	7.58	Feb-20	4.58	B	FC
HR7	Strike Policy	Feb-17	7.58	N/A	N/A	B	ERC
FM11	Capital Projects Policy	Jun-17	7.25	Apr-21	3.34	B	PC
HR11	Employment Advertising Policy	Jun-17	7.25	Sep-19	5.00	B	ERC
HR10	Employment Equity Policy	Jun-18	6.25	N/A	N/A	B	ERC
SC1	Health and Safety Policy	Dec-18	5.75	Sep-19	5.00	B	AC
FM2	Purchasing Policy	Sep-19	5.00	N/A	N/A	B	FC
GA1	Acting President Policy	Sep-19	5.00	N/A	N/A	B	EC
HR6	Relocation Policy	Sep-19	5.00	Sep-19	5.00	B	ERC
SC6	Scholarly Integrity Policy	Sep-19	5.00	Jul-20	4.11	B	LRC
FM3	Cash Handling Policy	Dec-19	4.75	N/A	N/A	B	AC
AP8	Deans Extension Policy	Jun-20	4.19	Jun-20	4.19	B	ERC
AP13	Registrar/Librarians Extension Policy	Jun-20	4.19	Oct-22	1.92	B	ERC
UP6	Trade-Mark Policy	Sep-20	4.00	N/A	N/A	B	EC
AP11	Registrar/Librarian Appointment Policy	Sep-21	2.93	Sep-21	2.93	B	ERC
UP13	Space Management Policy	Apr-23	1.40	Apr-23	1.40	B	PC
LR8	Technology Equity Policy	Nov-00	23.83	May-22	2.33	C	LRC
FM1	Late Payment Policy	Jul-02	22.12	Jul-02	22.12	C	FC
GA3	Communications Policy	Jun-05	19.25	N/A	N/A	C	EC
FM9	Term Investments Policy	Apr-10	14.40	Apr-13	11.41	C	FC
LR6	Killam Professors Policy	Dec-12	11.75	Oct-20	3.91	C	LRC
LR11	Inventions Policy	Jun-13	11.25	Sep-19	5.00	C	LRC
LR1	Honorifics Policy	Apr-14	10.38	May-24	0.32	C	LRC

Supplemental Material 2

Policy No.	Policy Title	Policy Last Updated	Years Since Policy Last Updated	Procedures Last Updated	Years Since Procedures Last Updated	Current Priority	Responsible Board Committee
SC9	Alcohol Policy	Jun-14	10.25	Aug-15	9.08	C	PC
FM6	Fundraising Policy	Jun-15	9.25	Sep-19	5.00	C	FC
AP2	Acting Heads Policy	Dec-16	7.75	Dec-16	7.75	C	ERC
FM5	Endowment Policy	Apr-17	7.38	Feb-22	2.56	C	FC
AP3	Board Appointments Policy	Dec-18	5.75	N/A	N/A	C	ERC
SC2	Smoking/Vaping Policy	Feb-19	5.55	Feb-19	5.55	C	PC
GA8	Board Meetings Policy	Feb-19	5.55	N/A	N/A	C	GC
UP12	Land Use Policy	Apr-19	5.37	Jan-24	0.66	C	PC
UP4	Vending Machine Policy	Jun-19	5.25	Sep-19	4.97	C	FC
AP6	Academic Administrators Extension Policy	Sep-19	5.00	Aug-23	1.06	C	ERC
GA7	Brand Identity Policy	Sep-19	5.00	Sep-19	4.94	C	EC
LR4	Tuition Consultation Policy	Sep-19	5.00	Sep-19	5.00	C	LRC
LR10	Financial Aid Policy	Sep-19	5.00	Jun-05	19.25	C	FC
SC11	Wireless Network Policy	Sep-19	5.00	N/A	N/A	C	LRC
UP1	Communication Services Policy	Sep-19	5.00	N/A	N/A	C	AC
UP2	Charitable Appeals Policy	Sep-19	5.00	N/A	N/A	C	PC
UP5	Equipment/Services Use Policy	Sep-19	5.00	Sep-19	5.00	C	PC
UP9	Space Rental Policy	Sep-19	5.00	Feb-15	9.58	C	PC
UP10	Advertising Policy	Sep-19	5.00	Jan-20	4.66	C	PC
LR7	Disability Accommodation Policy	Nov-19	4.83	Dec-18	5.74	C	LRC
GA2	Regulatory Framework Policy	Dec-19	4.73	Dec-19	4.73	C	GC
SC18	Retaliation Policy	Apr-20	4.38	Apr-20	4.38	C	EC
SC13	At-Risk Behaviour Policy	Apr-20	4.36	Apr-20	4.36	C	EC
AP15	Administrative AVPs Policy	Dec-20	3.73	Jan-24	0.60	C	ERC
HR12	Non-Union Compensation Policy	Dec-20	3.73	Dec-20	3.73	C	EC
AP9	Academic Heads Policy	Jun-21	3.18	Jun-21	3.18	C	ERC
AP5	Deans Appointment Policy	Apr-22	2.42	Apr-22	2.42	C	ERC
FM8	Business Expenses Policy	Apr-22	2.42	Apr-22	2.42	C	AC
SC8	Investigations Policy	Apr-23	1.42	Apr-23	1.42	C	AC
GA6	Naming Policy	Jul-23	1.15	Jul-23	1.11	C	EC
SC5	Extreme Environmental Conditions Policy	Dec-23	0.73	Jan-24	0.67	C	PC
SC3	COI Policy	Apr-24	0.35	Apr-24	0.35	C	ERC
AP14	Administrative VPs Policy	Jul-24	0.16	Jul-24	0.16	C	EC
SC19	Public Interest Disclosure Policy	N/A	0.00	N/A	0.00	C	ERC
HR3	Death Notices Policy	Mar-95	29.50	N/A	N/A	H	ERC
LR5	Research Grants Policy	Jul-95	29.17	Sep-19	5.00	H	FC
SC10	Disaster Management Policy	Jun-05	19.25	Sep-19	5.00	H	AC
AP12	Academic Administrators Appointment Policy	Sep-21	2.93	Aug-23	1.06	H	ERC
LR3	Grants During Leave Policy	Mar-22	2.50	Jan-94	30.67	H	FC

► Responsible Board Committee: Audit Committee

Board Policy Priorities - Current as at September 1, 2024

Policy No.	Policy Title	Policy Last Updated	Years Since Policy Last Updated	Procedures Last Updated	Years Since Procedures Last Updated	Current Priority	Responsible Board Committee
GA4	Records Management Policy	Sep-19	5.00	N/A	N/A	A	AC
SC15	Financial Investigations Policy	Sep-19	5.00	Jan-22	2.59	A	AC
SC4	Environmental Protection Policy	Jun-05	19.25	Sep-19	5.00	B	AC
UP7	Pest Control Policy	Jun-05	19.25	Jun-05	19.25	B	AC
SC16	Video Cameras Policy	Feb-16	8.58	Feb-16	8.58	B	AC
SC1	Health and Safety Policy	Dec-18	5.75	Sep-19	5.00	B	AC
FM3	Cash Handling Policy	Dec-19	4.75	N/A	N/A	B	AC
UP1	Communication Services Policy	Sep-19	5.00	N/A	N/A	C	AC
FM8	Business Expenses Policy	Apr-22	2.42	Apr-22	2.42	C	AC
SC8	Investigations Policy	Apr-23	1.42	Apr-23	1.42	C	AC
SC10	Disaster Management Policy	Jun-05	19.25	Sep-19	5.00	H	AC