

Policies for Professionals/Managers & Confidentials – Victoria University

Victoria University in the University of Toronto

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SECTION II: APPOINTMENT CONDITIONS CODE NUMBER: 2.01.01

POLICY: TYPES OF APPOINTMENT

DEFINITIONS

Continuing Employees

Continuing employees have no predetermined end date and hold positions that are considered by the employing unit as part of the staff complement of the unit and whose employment will continue unless terminated by the University in accordance with the *Policies for Professionals/Managers & Confidentials*, or by an employee through resignation or retirement.

Term Employees

Term employees are hired for an initial appointment of at least six (6) months in length and have a predetermined end date at which time the appointment will terminate.

Sessional Employees

Sessional employees hold continuing positions for which the University requires staffing only during an academic session or part thereof, which may be up to eleven (11) months in length. These employees are on sessional layoff for the balance of the academic year.

Part-time Employees

A part-time appointment is based on less than 100% of the full-time hours of work.

EMPLOYMENT PROVISIONS

All staff appointed Professionals/Managers and Confidentials staff are governed by the *Policies for Professionals/Managers and Confidentials*, or as may be agreed in writing by the University and the employee.

The University retains the right, following consultation, to modify or amend the policies in whole or in part from time to time on the giving of written notice to employees of changes in the policies as the University, in its sole discretion, considers appropriate.

Professionals/Managers and Confidentials will also be subject to and bound by all applicable University policies of general application in addition to all procedures and practices that may be in force.

The University's senior administration will convene meetings with the Professional/Managers and Confidentials staff, at least once per year, for the purposes of information sharing, consultation and/or professional development.

SECTION II: APPOINTMENT CONDITIONS

CODE NUMBER: 2.01.02

POLICY: RECRUITMENT, SELECTION, AND HIRING

INTRODUCTION

The staffing processes for Professionals/Managers and Confidentials positions are intended to meet the following objectives:

- to foster excellence in the work place and contribute to the achievement of the mission of the University through hiring the best qualified candidate in accordance with the policies of the University; and
- to encourage and provide opportunities for career development of Professionals/Managers and Confidentials staff.

a) THE STAFFING PROCESS

RECRUITMENT

Any administrative Professionals/Managers and Confidentials staff, full-time or part-time, who has completed her/his initial probationary period may apply for an internal transfer.

All continuing Professionals/Managers and Confidentials job opportunities that are not filled within the hiring department will be advertised:

- a) consecutively, University-wide and as required, externally; or
- b) externally, concurrently with a University-wide posting when the position requires specialized or expert skills not typically found in the University's work force.

Term job opportunities may be advertised accordingly or may be filled by a secondment which may or may not be advertised within the University or externally. (See Secondments section below)

University-wide job opportunities will be advertised on the HR website for a minimum of six days and will include the typical duties and qualifications required, the classification, salary range and source of funding, the type of appointment including end date, if applicable.

Candidates must submit a written application, including an up-to-date resume, within the period indicated on the posting. Late applications may be accepted at the discretion of the University in extenuating circumstances.

SELECTION

Selection, if any, will be based on the best qualified candidate for the position taking into account factors such as the candidate's qualifications, skill, education, training, previous related experience, ability and potential, and the requirements of the position.

Where these factors are considered equal between an internal and external applicant, the internal applicant will be selected.

HIRING

A new staff member to the University will be considered probationary until s/he has successfully completed her/his probationary period, which may be up to 12 months of active employment, to be determined by the supervisor. The staff member's employment may be terminated at any time during the probationary period without notice other than as may be required under the *Employment Standards Act* of Ontario. (See Termination Policy, *Policies for Professionals/Managers and Confidentials*)

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In cases of internal transfer, while there is no probationary period, an appropriate review period will be established of up to six (6) months, the length of which will be based on the applicant's skills and experience in relation to the requirements of the position. The review period will be used to orient the staff member to her/his new department, set goals for performance, identify and plan for any required training, provide and receive feedback on performance and enhance ongoing communication between the supervisor and staff member.

b) SECONDMENTS

A secondment is an appointment to another position for a limited term, i.e., up to 18 months, at the conclusion of which the incumbent will normally return to her/his previous position which, by mutual agreement of the department head, will have been kept vacant or filled on a term or temporary basis.

Secondments may be used to borrow particular expertise for projects or to temporarily replace a staff member while, at the same time, providing an opportunity for career development.

Secondment opportunities may be advertised in accordance with the staffing process described above or through a posting within the department or through an employment equity initiative or through an exchange program with another division, department or institution or through a career development planning process designed to broaden exposure and experience of staff members.

SECTION III: EMPLOYMENT CONDITIONS **POLICY: STAFF BENEFITS**

CODE NUMBER: 3.01.01

I. PENSION & BENEFITS

Eligibility

All administrative Professionals/Managers and Confidential employees of the University who hold full-time appointments or part-time appointments of 25% or more, or sessionals are eligible for a wide range of benefit plans. In the case of part-time staff members, the benefit will be pro-rated in accordance with the part-time appointment. Term employees are not eligible for the pension or LTD plans.

Benefit Plans

Eligibility for benefits coverage and the nature and extent of that coverage are governed by the terms and conditions of the relevant benefit plans. The following is only a summary and to the extent the summary is inconsistent with the terms of any relevant benefit plan, the terms of the plan prevail.

Benefit Plans include Pension Plan; Long Term Disability Plan (mandatory except for term employees); Group Life & Survivor Income Plan; Dental Care Plan (mandatory); Extended Health Care Plan; Semi-Private Hospital Accommodation Plan; Vision Care Plan (mandatory); and, Joint Membership Plan. Other Employee Benefit Plans include, but not limited to: Tuition Waiver Plan; Educational Assistance Plan; Dependent Scholarship Plan (P/M only), Tuition Waiver for Dependents (Confidentials only), Tuition Assistance for Dependents of Staff who Die in Service or Retire from Service; Pregnancy Leave, Primary Caregiver and Parental Leave and related Supplemental Unemployment Benefits; and the Child Care Benefit Plan.

The University retains the right, following consultation, to alter or modify pension or benefit plans from time to time.

Continuation of Benefit Plans while On Leave

1. Leave of Absence Without Pay

The University will continue its normal subsidy for staff members on leave of absence without salary for one calendar month or less.

Staff members on leave of absence without salary for more than one calendar month may choose the benefit plans they wish to continue during the period of unpaid leave and remain enrolled in these plans by paying both the University's and the staff member's portion of the premium cost.

2. Self-Funded Leave

For the period of self-funded leave, staff members may choose the benefit plans they wish to continue and remain enrolled in these plans by paying both the University and the Employee portions of the premium cost.

3. Staff Members on Long Term Disability

Staff members will continue to accrue pension credits during the period of disability providing they remain employees of the University. Staff members are required to pay their portion of the premium cost of all benefits plans in which they are participating except for Long Term Disability, Group Life Insurance and Pension, for which the employee portion is waived

4. Staff Members on WSIB

The University and the staff member continue to pay their respective portion of the premium cost of all benefit plans in which the staff member is participating.

III. DEATH IN SERVICE

In the event of the death of a staff member, the University will pay her/his estate the full salary and vacation pay accrued to the end of the month in which the death occurred.

SECTION III: EMPLOYMENT CONDITIONS	CODE NUMBER: 3.01.02
POLICY: SHORT TERM DISABILITY LEAVE	

INTRODUCTION

Short Term Disability Leave is defined as absence due to a staff member's illness or injury, not incurred in the performance of her/his regular job duties, or absence due to quarantine through exposure to contagious disease, or because of an accident for which compensation under *the Workplace Safety and Insurance Act* is not payable.

The purpose of Short Term Disability Leave is to provide against loss of earnings for staff members who are prevented by sickness or injury from performing their duties.

ELIGIBILITY

All administrative Professionals/Managers and Confidentials staff, full-time or part-time or sessional, who have completed three (3) months of continuous (staff appointed) service with the University.

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Staff members with less than three (3) months of continuous (staff appointed) service may be granted up to two weeks of leave with regular salary, at the discretion of her/his Department Head.

Staff members whose employment is for a defined period of more than three (3) months will not be eligible for benefits beyond the contractual period unless they are re-appointed or the disability commenced more than two (2) months prior to the contractual termination date.

PROVISIONS

Eligible staff members will be granted leave with regular salary for periods of up to fifteen (15) weeks for each separate and unrelated illness or injury, regardless of the length of time between illnesses or injuries.

Where there is a re-occurrence of the same or related illness, a staff member will be eligible for up to fifteen (15) weeks of leave with regular salary if s/he has attended work for a minimum of three (3) months from the last day of the previous Short Term Disability Leave.

A physician's certificate is required by the University for any Absence due to illness or injury, regardless of the duration, when claiming the Short Term Disability Leave.

The University reserves the right to require that an employee seeking to return to work following a period of illness or injury first provide a medical certificate satisfactory to the University confirming that the employee is medically fit to return to work.

A staff member who is hospitalized or confined by order of a doctor because of sickness or accident while on scheduled vacation will be considered eligible for Short Term Disability Leave during the period of hospitalization or confinement providing the staff member provides a doctor's note confirming the period of hospitalization or confinement.

SECTION III: EMPLOYMENT CONDITIONS

CODE NUMBER: 3.01.03

POLICY: COMPENSATION

INTRODUCTION

Victoria University is committed to creating and maintaining a work environment in which employees are valued, and performance and contributions are rewarded. As a public institution, fiscal prudence and transparency in our compensation programs is essential.

The objectives of the University's compensation program for Professionals/Managers and Confidentials are to:

- i) Enable the University to attract and retain highly qualified staff through a fair and competitive total compensation program;
- ii) Maintain pay equity and ensure internal equity;
- iii) Differentiate pay levels on the basis of performance as well as job content;
- iv) Reward excellence.

JOB EVALUATION

The University's Job Evaluation Plan for Professionals/Managers is a gender-neutral comparison system, which reflects both the values of the University and factors important to the provision of

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professional and managerial services. The job evaluation system compares positions within the Professional/Managerial group on the basis of the following four main factors with 11 sub factors:

Skills	Responsibility:
<ul style="list-style-type: none"> • Technical & Professional Knowledge Interpersonal Skills 	<ul style="list-style-type: none"> • Independence of Action • Well Being of Students and Others • Resources <ul style="list-style-type: none"> • Complexity • Scope • Supervision • Functional Advice • Health & Safety
Effort:	Working Conditions:
<ul style="list-style-type: none"> • Problem Solving 	<ul style="list-style-type: none"> • Working Environment/Hazards • Sensory Demands

Positions are assigned to classification levels based on the point scores determined through the job evaluation process; positions of comparable value will be assigned to the same classification level.

SALARY RANGES

There are 9 salary ranges for Professional/Managerial staff. Salary ranges for levels 1 to 5 are structured with a minimum, a breakpoint and a maximum. Generally new employees would start at the lower end of the salary range. The portion of the range above the breakpoint is generally reserved for exceptional performers and/or long service employees.

Salary ranges for levels 6, 7,8 and 9 are structured with a notional maximum –an upper threshold is set for each level above which Presidential approval of starting salary and annual salary increase is required.

Confidentials salaries are determined within pay-scales structured with a minimum, a job rate (midpoint) and a maximum.

The ranges are adjusted each year by the amount of the across-the-board increase. Progression through the range is achieved through merit increases.

Salary ranges for Professionals/Managers and Confidentials are available upon request from the Human Resources Office.

MARKET COMPETITIVENESS

The University monitors market pay for benchmark positions through participation in surveys and conducting its own surveys, as required, to determine market pay practices and total compensation comparability and competitiveness. Positions may be paid at a higher level than the applicable salary range would otherwise indicate in response to demonstrated market pressures and skills shortages.

ANNUAL SALARY ADJUSTMENT PROGRAM

Salaries will be reviewed on an annual basis on July 1. There are two salary adjustment programs:

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1. Professionals/Managers Staff in Levels 1 to 5, and Confidentials
 - a) Receive an annual across-the-board (ATB) adjustment, with some exceptions, for example, if an employee's salary were above the range maximum.
 - b) Are eligible to receive a merit increase based solely on performance.
2. Professionals/Managers Staff in Levels 6, 7, 8, 9 and 2AP
 - a) Are eligible to receive a merit increase based solely on performance. There is no ATB adjustment for this group. Senior Advancement professional are covered by a detailed compensation policy and practice specific to Advancement professionals.

SPECIAL RECOGNITION PROGRAM

Special efforts or accomplishments may also be recognized in non-monetary formats, for example educational opportunities, special educational leave and/or funding, appreciation events and other forms of recognition appropriate to the specific circumstances.

SECTION III: EMPLOYMENT CONDITIONS

CODE NUMBER: 3.01.04

POLICY: HOURS OF WORK, VACATIONS AND LEAVES

Eligibility

All staff appointed administrative Professionals/Managers and Confidentials employees.

a) HOURS OF WORK

A full-time appointment is based on 100% of the full-time hours of work, i.e., 35 hours per week (30 hours per week for the period from July 1 to the Friday before Labour Day), for an annual total of 1760 hours. Professionals/Managers are expected to schedule their own work to meet the requirements of their position and to arrange their work schedule to accommodate both their obligations to the University and their family care responsibilities, health care appointments, religious observances, bereavement leave and other personal needs. Staff members are expected to consult with their supervisor regarding individual work schedules, as appropriate.

As employees whose work is supervisory or managerial in character, Professionals/Managers are not eligible for overtime pay.

Confidentials are eligible for overtime, which must be authorized in writing, in advance, by an employee's immediate supervisor. Confidential employees who work in excess of 35 hours in a work week will be paid at the rate of time and one-half the employee's regular rate of pay or granted time off in lieu of overtime pay for authorized hours worked beyond 35 hours, it being understood that overtime will not apply unless or until the time worked is at least one quarter (15 minutes) hour more than the employee's regular hours of work in a day. Employees will bank overtime hours to a maximum of two hundred (200) hours which may be taken as lieu time off, at times mutually agreed to between the employee and his/her immediate supervisor. Overtime will be credited to the bank as it is earned, i.e., at time and one-half the actual hours worked and may be carried forward from year to year.

Please see Personal Leave Guidelines for Professionals/Managers and Confidentials, for more detailed information.

b) VACATIONS

Professionals/Managers are entitled to vacation in accordance with the following schedule. Years of service for the purpose of vacation accrual are based on the staff member's employment anniversary date.

P/M Length of Service Monthly Accrual Rate Annual Vacation Entitlement

Accrual Period in Months	Monthly Accrual Rate	
0 to 132 months	1.667 days per month	20 days
133 to 156 months	1.75 days per month	21 days
157 to 168 months	1.833 days per month	22 days
169 or more months	2.083 days per month	25 days

Confidentials Vacation Schedule

Vacation credits are earned in accordance with the following schedules. Years of service for the purpose of vacation accrual are based on the staff member's employment anniversary date.

Accrual Period in Months	Monthly Accrual Rate
First 60 months	1.25 days per month
61 to 72 months	1.33 days per month
73 to 84 months	1.417 days per month
85 to 96 months	1.5 days per month
97 to 108 months	1.583 days per month
109 to 132 months	1.667 days per month
133 to 156 months	1.75 days per month
157 to 168 months	1.833 days per month
169 or more months	2.083 days per month

Vacation credits for part-time employees are pro-rated according to the percentage of their appointment.

Vacation credits may be used up to the amount which has been earned. Under exceptional circumstances, a supervisor may allow use of vacation credits prior to their being earned.

With the approval of the supervisor, a staff member may accumulate a maximum of 10 days of vacation credits above their annual entitlement. In very exceptional circumstances, an employee may accumulate above the maximum allowed, if supervisory approval is provided in writing.

On termination of employment, outstanding vacation credits will be paid out as a lump sum to a maximum of 10 days of vacation credits above the annual entitlement for the employee.

c) LEAVES

Leave of Absence without Pay

- i) Educational Leave or Professional Development Leave: Professionals/Managers and Confidentials may, with the agreement of their supervisor, be granted an unpaid educational leave for a period of up to one year; consultation with the Human Resources Office is required.
- ii) Personal Leave: Professionals/Managers and Confidentials may be granted unpaid leave for up to six months by the supervisor or for a longer period with the agreement of the Bursar or President, and in consultation with HR.

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During the period of leave, the staff member's position will only be filled on a term or temporary basis.

The staff member will have the option of maintaining full membership in the University's benefit plans by paying both the employee and employer portions of the premiums.

Leave of Absence with Pay

Occasionally, with the agreement of the supervisor, and where the purpose of the leave is of significant benefit to the department or the University, such as conducting administrative research on behalf of the University or participating in international or inter-University exchanges, the leave may be granted with full or partial salary. If the staff member elects to maintain full benefits coverage while on partial salary, the University will continue to pay the full employer contribution to premiums.

Self-Funded Leave Plan

The self-funded leave plan provides employees with the opportunity of taking a minimum of three (3) months and a maximum of one (1) year as a self-funded leave without pay to be used as the employee wishes providing that use does not contravene Income Tax Act Regulations.

Any full or part-time administrative Professionals/Managers and Confidentials staff member who has been staff appointed for three (3) years or more is eligible to apply for a self-funded leave. No staff member may take a leave in the twelve months prior to her/his retirement.

Eligible staff members will make a written application to their Department Head with a copy to the Manager of Human Resources at least six (6) months prior to the intended commencement date of the salary deferral. Approval of the request will rest with the appropriate Department Head, after consultation with the Bursar/President, as appropriate, and the staff member, and the decision will be based on the operational requirements of the work unit.

For more details and an application form, please contact the HR Office.

Part-time Appointments for Family Care

Full-time employees who have continuous responsibilities for the care of their family may request a change to part-time status for a defined period, in order to devote more time to their family care responsibilities.

The terms and conditions of the part-time arrangement including the percentage of time to be worked, the duration of the part-time appointment and the duties and responsibilities, must be mutually agreed between the employee and the department head, to whom the employee should direct her/his request. Employees requesting a change in status on this basis should make their request as far in advance as possible but in any event, no less than one month prior to the commencement of the requested change in status. The terms of the part-time appointment should be outlined by the department, in writing, and agreed to and signed by the staff member in advance of the change. Salary and benefits will be appropriately pro-rated according to the percentage time worked.

Short-Term Compassionate or Emergency Leave

The University will grant compassionate care leave of up to a maximum of eight (8) weeks to employees who take a leave of absence under the Family Medical Leave provisions of the Employment Standards Act. For employees with one (1) year of service or more, the University will pay the equivalent of the maximum possible weekly Employment Insurance benefit during the two (2) week waiting period provided that the employee applies for and receives Employment Insurance Benefits.

SECTION III: EMPLOYMENT CONDITIONS**CODE NUMBER: 3.01.05**

POLICY: PROBLEM RESOLUTION

INTRODUCTION

In any situation where conflict or other problems arise between a Professional/Managerial (P/M) employee and his or her colleagues, it is anticipated that the issue will be resolved through discussion and possibly through use of conciliatory techniques such as mediation and facilitation. Employees should attempt to resolve issues as early as possible, before they have an opportunity to escalate. Employees are reminded in this Policy of the various supports available to them

ELIGIBILITY

All non-probationary Professionals/Managers and Confidentials staff who hold full-time or part-time staff appointments including staff members whose employment is terminated by the University.

CONSULTATION WITH HUMAN RESOURCES

If a staff member requires assistance prior to raising a complaint, he/she is encouraged to discuss the issue with the Human Resources Manager. The HR Manager can assist the staff member in determining such matters as whether there is an issue that should be raised, how to raise it, with whom to raise it, and the range of solutions that might be possible. Supervisors who receive a complaint are also encouraged to seek advice from human resources.

PROCESS

Staff are encouraged to resolve problems through full and open discussion of the problem with discussion with their immediate supervisor, through successively higher levels of management, as appropriate.

The process steps are as follows:

Step 1: discussion with their immediate supervisor. Where discussion with her/his immediate supervisor fails to resolve the problem, the staff member may discuss the matter with, and if he/she wishes, present a written complaint to:

Step 2: the person to whom the staff's immediate supervisor reports, and from there may proceed to raise the concern through successively higher level of management until a resolution is reached; or

Step 3: the President (or his/her designate).

Depending upon the type of issue raised, the University may, in its discretion, investigate further and/or upon the consent of the parties engage in facilitation or mediation.

Supervisors who receive complaints are encouraged to consider whether it would be useful to engage any internal or external resources such as mediation, facilitation or the Employee and Family Assistance Program.

A staff member who raises a complaint under this Policy will receive a timely response. Such response may be verbal or written and will include an outline of the complaint, any steps taken to investigate the complaint, and the University's decision regarding the complaint.

No staff member shall be subject to reprisals for any complaint that he/she brings forward in good faith.

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If for any position at a level or in a division of the organization where the process outlined above is not appropriate, this should be discussed with Manager Human Resources, or designate in order that an analogous process can be provided.

The University reserves the right to decline to apply this Policy in situations where a complaint is also pursued through another avenue.

SECTION III: EMPLOYMENT CONDITIONS**CODE NUMBER: 03.01.06**

POLICY: ACCESS TO PERSONNEL FILES

INTRODUCTION

In order to document and administer the employment of staff, the University collects, maintains and uses personal information relating to the pay, benefits/pension, terms of employment, performance, career development, attendance, references and other personal data of staff.

The official personnel file for all staff members reside in the Bursar's Office.

The Policy Access to Personnel Files sets out the staff member's right to access, correct and add to information collected and maintained by the University. This policy is applied in accordance with the basic principles of the Victoria University Policy on Access to Information and Protection of Privacy.

CONDITIONS

Any administrative Professionals/Managers and Confidentials staff member has the right to examine information included in her/his Personnel File, subject to the conditions set out below:

A staff member must give reasonable notice, in writing, of a request to examine her/his Personnel File to her/his immediate supervisor and the Human Resources Manager.

The Human Resources Manager will arrange a mutually convenient time and location for the staff member to examine her/his Personnel File in the presence of the Human Resources Manager.

Access to certain records may be denied at the discretion of the University in accordance with the principles set out in the University Policy on Access to Information and Protection of Privacy. Where access is denied, a list of records removed from the Personnel File will be provided to the staff member.

A staff member may not remove or alter information in the Personnel File, but may request correction of information where s/he believes there is an error or omission. Staff members also have the right to add rebuttal documents to the file.

At the staff member's request, documents that recognize her/his job-related accomplishments, including certificates, diplomas, degrees, documentation of service on University committees and University or community offices held will be added to her/his Personnel File.

RELEASE OF INFORMATION TO THIRD PARTIES

No information or records contained in the Personnel File of a staff member will be released or made available to any other person or institution without the written consent of the staff member, except, as permitted, under the University Policy on Access to Information and Protection of Privacy, or as may be required by law.

SECTION III: EMPLOYMENT CONDITIONS**CODE NUMBER: 3.01.07**

POLICY: CONFLICT OF INTEREST

INTRODUCTION

Members of the Professionals/Managers and Confidential staff of Victoria University are committed to achievement of the University's mission. Hence, their primary commitment is to the work of the University and their personal activities may not conflict with the University's interests. Occasionally, in the course of the exercise of their responsibilities, administrative staff members may develop commitments to persons or organizations other than the University and may perform services for others for which they are paid. In such cases, situations may arise when a staff member's personal or financial interests may conflict, or may seem to conflict, with the staff member's obligations to the University. All staff members have an obligation to report and discuss with the person to whom they report all such conflicts that the staff member believes, or an objective observer would believe, to be significant. If the person to whom the staff member reports concludes the activities constitute a conflict of interest, the staff member may not continue to engage in them. Any alleged breaches of this policy may be handled under the Termination for Cause section of the Termination of Employment Policy, 5.01.01, *Policies for Professionals/Managers & Confidentials*.

APPLICATIONS**1. Use of University Resources**

Professionals/Managers and Confidentials may not make more than trivial use of University facilities, supplies or administrative services for personal purposes without authorization. On occasion, a Professionals/Managers and Confidentials may wish to make more than trivial use of University facilities, supplies or services. Application must be made in writing to the person to whom the person reports. If the request is granted, the staff member will reimburse the University for the full cost, including overhead, of the facilities, supplies or support staff used.

2. Conflict of Interest Resulting from Family or Other Personal Relationships

a) Any situation involving the hiring (including casual hiring), supervising, or conferring or denying of any material benefit to any person with whom there exists or has recently existed an intimate personal or family relationship must be discussed by the staff member with her or his supervisor. Victoria University employees in supervisory positions will not hire any person related to them. The supervisor whose family member is applying for a job should declare a conflict of interest and turn the search over to another supervisor to conduct.

b) Where funds involved are administered by the University, no staff member may, directly or indirectly, purchase from or sell to, or confer or deny any financial or commercial benefit on or engage in any commercial transaction with any person or organization with whom the staff member has, or recently had, an intimate, family or business relationship without the prior approval of the person at the next higher level of authority. In requesting the approval, the staff member will indicate in writing why the benefit should be conferred on, or the activity should be carried out by the person.

3. Conflict of Interest for Supervisor

If the person to whom an employee normally reports has a personal interest in the matter to be discussed, then that individual will refer the matter to the person at the next higher level of authority.

4. Purchases Involving University Funds

If a staff member has received or is receiving supplementary income from a company, or if the staff member or a member of her or his family or a person with whom the staff member has or has recently had an intimate personal relationship, has a significant financial interest in a company, the staff member must disclose the nature of the involvement with the company in any situation in which the staff member is in a position to influence whether or not University funds will be used to purchase goods and services from that company or where the company may otherwise receive some benefit from the University.

5. Approval of Expenses

All expense claims made by staff members involving funds administered by the University require the signature of the person to whom the staff member reports.

6. Acceptance of Gifts

The acceptance of gifts or any other material benefit or favour from individuals who are associated with the University activities of the staff member, with the exception of minor gifts as token courtesies, is not normally permitted. If a staff member has any doubts about the propriety of accepting a particular gift or favour, s/he should discuss the matter with the person to whom s/he reports.

7. Paid Professional or Commercial Activities

While administrative staff members may in some circumstances engage in professional or commercial activities from which they derive supplementary income, such activities must be fully disclosed to, and receive the approval of, the person to whom the staff member reports. Where, in the opinion of that person, these activities constitute a conflict of interest, the supervisor may insist on the staff member's withdrawal from engaging in them. (This provision does not require disclosure of personal activities with minor financial implications such as renting a basement apartment or cottage, operating a hobby farm, and which have no impact on the staff member's University's responsibilities.)

8. Confidentiality

All information about a staff member gathered under this Policy will be held in strict confidence and not divulged to any other person, except for internal University administrative purposes required by Policy, or under the compulsion of the law, without the written consent of the staff member.

9. Protection of Staff Members Reporting Suspected Conflict of Interest

The University or person(s) acting on its behalf will not i) dismiss or threaten to dismiss or suspend a staff member; ii) discipline or suspend or threaten to discipline or suspend a staff member; iii) impose any penalty upon a staff member; or, iv) intimidate or coerce a staff member, because the staff member has provided information relating to an alleged conflict of interest to an appropriate officer of the University or has sought the enforcement of this Policy through appropriate University channels.

SECTION IV: PERFORMANCE MANAGEMENT
POLICY: PERFORMANCE MANAGEMENT

CODE NUMBER: 4.01.01

ELIGIBILITY

This policy applies to all staff appointed administrative Professionals/Managers and Confidentials employees.

OBJECTIVES

The objectives of the performance management process are:

- to link planning, assessment and rewarding of results of each Professionals/Managers and Confidential staff member to the achievement of University and departmental objectives; and
- to foster excellence in the work place and contribute to the achievement of the mission of the University.

THE PROCESS

Performance Assessment

In consultation with the staff member, the supervisor establishes goals and objectives, appropriate to the responsibilities of the staff member's position which will support the achievement of the objectives of both the University and the department.

During the year, the supervisor will monitor and provide periodic feedback to the staff member on her/his progress toward the achievement of established goals and objectives, identifying any obstacles and providing advice, training support and other assistance as may be needed to enable the staff member to perform to full potential.

On at least an annual basis, the supervisor will review and discuss the staff member's activity report which summarizes her/his achievement of established goals and objectives and will provide written feedback on these achievements, identifying any areas requiring improvement and plans for further development. The achievement of goals and objectives, quality of work and the staff member's contribution to both the department and the University, will be taken into consideration in determining the annual merit increase.

Managing Unsatisfactory Performance

Where the performance of a Professionals/Managers or Confidentials staff member remains unsatisfactory following the provision of appropriate support, the supervisor will provide a written warning including what improvement is required if the staff member's employment is to be continued, any further assistance to be provided and the period of time within which improved performance must be demonstrated.

Depending on the degree of improvement in performance, if any, the supervisor may, at the end of this warning period, extend the warning period OR provide written notice that employment will continue provided that the improved level of performance is maintained OR proceed to termination. The supervisor must have the approval of the person they report to (as appropriate), and the President prior to the termination of the staff member's employment (see Termination of Employment Policy, 5.01.01, *Policies for Professionals/Managers & Confidentials*).

SECTION V: TERMINATION OF EMPLOYMENT
POLICY: TERMINATION OF EMPLOYMENT

CODE NUMBER: 5.01.01

INTRODUCTION

Employment may be terminated as a result of reorganization or changing requirements for which the staff member is not suited or other circumstances where no cause for termination exists. Where termination occurs for reasons other than cause, individuals must be treated fairly and appropriate severance arrangements made. Where termination is for cause, employment may be terminated without notice or severance.

TERMINATION FOR CAUSE

Where the decision to terminate the employment of a Professionals/Managers or Confidentials staff member is for cause such as unsatisfactory performance*, including the culminating incident in a series of performance problems, fraud, violence, gross negligence of duty, or breach of confidentiality, the supervisor, may, after seeking the advice of Human Resources and receiving the approval of the person they report to (as appropriate), and the President, initiate an immediate termination without notice or severance.

* See the Performance Management Policy, 4.01.01, *Policies for Professionals/Managers & Confidentials*.

INVOLUNTARY TERMINATION OTHER THAN FOR CAUSE

This policy applies to all staff appointed Professionals/Managers and Confidentials staff holding continuing appointments.

Termination other than for cause may include circumstances such as departmental reorganizations or business process changes. In all cases, the supervisor must receive the approval of the person they report to (as appropriate), and the President prior to the termination of a staff member's employment.

Where the University decides to terminate employment without cause employees will be provided with working notice or severance pay, or a combination of both, on the basis of one (1) month per completed year of continuous service** with the University, to a maximum of twenty-four (24) months, provided that in no case will an employee receive less working notice than the minimum working notice required under the *Employment Standards Act* of Ontario or less severance pay than the severance pay, if any, required under the *Employment Standards Act* of Ontario.

** Continuous service is defined as years of service from the staff member's most recent employment date as a full- or part-time staff appointed employee.

Formal notice of termination will be in writing and will be delivered personally to a staff member or by registered mail to her/his home address most recently provided by the employee to the University, and will specify the employee's termination date.

All benefits coverage and pensionable service ceases effective the date of termination of employment and employees will have no claim whatsoever for benefits coverage or pensionable service beyond the date of termination of employment.

The staff member will be required to sign a full and final release before receipt of any severance pay.

The staff member will be entitled to career transition services for up to three months following the date of termination.