



King's University College Board of Directors Board Policies

Received, Reviewed and Approved by the Board of Directors

Kelly Regan

Board Chair
Name



Board Chair Signature

28 February 2019

Date

All Board approved Amendments / Modifications to or added New Governance Policies will be recorded and initialed by the Board Chair from hereafter on the Revision Record Page which is to remain with this document at all times.

Board Policy Revision Record

Table of Amendments to the King’s University College Board Policies

Permanent policies are to be reviewed every three years or as directed / undertaken by the Board from time to time. All amendments are to be recorded on the Board Policies Board Policy Revisions Record at the start of this document.

This Board Policy Revisions Record must be updated upon amendment approval and included in all copies of the Board Policies distributed throughout the organization.

For existing Board Policies being amended, they are to sustain their same Board Policy number. New Board Policies will require a new number.

Policy #	Title	Revision Date	Revision #	Page #	Board Approved Date	Initial by Board Chair	Entered By

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Preface

1 INTRODUCTION

The following material represents the Board Policies as aligned with the Policies framework outlined in the Introduction section of the Governance Policies document.

Board Policies are the Board's directions to administration on specific topics, themes and items. The implementation of Board Policies is undertaken via Operating Policies and Procedures prepared by administration and approved by the Principal. Each Operating Policy and Procedure must align with a Board Policy. This alignment could involve one or more Operating Policies or Procedures as with any specific Board Policy.

The Board Policies are organized into the two broad Policy Categories, each with specific Board Policy topics:

- Corporate
- Programs and Services

1 Corporate Board Policies

Policy Unit:

1.1 Financial

Policy Number:	1.1.1 Accounting Methods
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Relevant Statutory / Regulatory Linkages:

Policy Statement (Intent and Scope)

King's University College (King's) will maintain its financial transactions in a manner consistent with Canadian accounting standards for not-for-profit organizations as outlined by the Chartered Professional Accountants of Canada, the requirements of the Province of Ontario,, and as per any separate funding agreements.

1. Accounting records will separate out the revenues and assigned costs in a manner consistent with the Council of Ontario Universities' guidelines.
2. The financial activity of King's will be subject to an annual external audit with an April 30th year-end.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal, or designate, will provide financial statements to the Finance and Investment Committee and to the Board of Directors annually and will update the Finance Committee on a quarterly basis with year to date results and variances from budgeted activities.

Annually audited statements will be undertaken by the Finance and Investment Committee and presented to the Board and at King's Annual General Meeting.

Policy Number:	1.1.2 Purchasing and Tendering
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Relevant Statutory / Regulatory

Linkages:

Ontario Broader Public Service Procurement Directive

Purchase of Materials and Services Policy

Policy Statement (Intent and Scope)

King's University College (King's) procurement and purchasing shall be performed in an open, legal, fair and transparent manner, where goods and services are secured in a competitive environment, and where all transactions yield the optimal benefit to the organization and are in conformity with the Ontario Broader Public Sector Procurement Directive and King's operating policies for purchasing materials and services and expense reimbursement.

1. Framework and Practices

- 1.1. King's may acquire goods and services cooperatively with other not-for-profit or profit agencies / institutions where King's can benefit from leveraged purchases.
- 1.2. Where King's has established contracts or agreements with preferred suppliers based on its procurement policy, staff shall purchase goods and / or services against these contracts or from these preferred suppliers on a timely and as needed basis.
- 1.3. Purchasing Staff will obtain quotes and prepare specifications where appropriate, and analyze agency expenses to identify and recommend cost saving opportunities, including alternate suppliers.
- 1.4. Purchase Orders / Requisition Process with appropriate documentation will be used for all purchases except petty cash. All Purchase Orders / Requisition Forms are to be authorized by the relevant budget unit head in accordance with pre-set limits and are to be attached to an invoice prior to processing for payment.

2. Authorized Approved Limits for Purchases

- 2.1. The Principal, or designate, will ensure that King's has procedures for purchases that are in full compliance with the Province's Broader Public Sector Procurement requirements.
- 2.2. The applicable department can authorize any purchase if identified in its Board approved current year budget. The Principal, in consultation with the Vice Principal Finance and Support Services can approve any expenditures up to \$500,000 if not included in a Board approved current year budget and which will not materially impact the Board approved current year budget.
- 2.3. Any purchases not included in a Board approved current year budget over \$500,000 requires Board approval before the expense is incurred.

3. Sourcing

- 3.1. Where advertising or invitations have been undertaken to attract the required quotes / tenders and less than three responses have been received, the Vice Principal, Finance and Support

Services will make a decision based on the quotes received, assuming the applicants are deemed qualified to provide the goods / services.

- 3.2. No goods or services shall be split into lower dollar values to avoid compliance with the policy. Prices are to include cost of warranty, maintenance and service agreements plus applicable taxes where applicable.
- 3.3. In an emergency / special circumstance, the following purchasing authorities shall apply:
 - 3.3.1. The Principal in consultation with the Vice Principal Finance and Support Services, has authority to acquire goods or services up to \$500,000 without regard to this Board policy.
 - 3.3.2. The nature of the emergency / special circumstance and action taken must be provided to the Chair within forty-eight (48) hours of the Principal's purchasing decision.

Monitoring Report Requirements (Frequency, Content, etc.)

1. Large expenditure reports submitted to the Finance and Investment Committee for expenses over the \$50,000 threshold on a quarterly basis.
2. Principal's expense reports submitted quarterly for review by the Finance and Investment Committee
3. Annual listing of contracts awarded over \$250,000 disclosing the supplier and the amount to the Finance and Investment Committee by the Vice Principal Finance and Support Services
4. Annual listing of emergency / special circumstances purchases to be provided to the Finance and Investment Committee by the Vice Principal, Finance and Support Services along with a confirmation that all purchasing / tendering has been in compliance, outlining any breaches of policy with rationale(s) and action(s) taken.

Glossary of Key Policy Terms (Can be Part of Policy Statement Component)

Tender	A formal request to provide clearly specified goods or services
Emergency	Circumstances in which an immediate purchasing decision is necessary to prevent suspension of an essential service or to reduce imminent harm or degradation to person(s) or an asset.

Policy Number:	1.1.3 Business Travel, Seminars and Conferences Expenses Coverage
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Relevant Statutory / Regulatory Linkages:

Conditions of Appointment and Terms and Conditions of Employment for employee groups (KUCFA, PAOA, Staff Association, CUPE)

Policy for Travel Reimbursement

Ontario Broader Public Service Procurement Directive

Policy Statement (Intent and Scope)

King’s University College (King’s) staff, faculty, and Board may be required to travel in the fulfillment of their roles and duties. A policy is required to ensure clarity and fairness in the covering of business travel costs. The policy applies to staff, faculty, Board of Director members, and volunteers of King’s, however staff and faculty expenses will conform to current Collective Agreements if different then below.

There will be a Policy for Travel Reimbursement that will align with King’s policies and any Ontario government or regulatory body requirements, and will contain, at a minimum, the following categories:

- 1) Identification of the department responsible for expense processing oversight
- 2) Expense authorization and approval procedure
- 3) Eligible and ineligible expenses

Monitoring Report Requirements (Frequency, Content, Etc.)

The Vice Principal, Finance and Support Services will report quarterly to the Finance and Investment Committee on all related activities, expenses and compliance results for this Board Policy.

Policy Number:	1.1.4 Signing Authorities
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Relevant Statutory / Regulatory Linkages:

By-Laws _____

Policy Statement (Intent and Scope)

King’s University College (King’s) has established signing procedures for payments for invoices and contracts / agreements. The King’s By-Laws will indicate the authorized individuals who can sign contracts, agreements, partnerships or any other document that binds King’s.

Monitoring Report Requirements (Frequency, Content, etc.)

The Vice Principal, Finance and Support Services will provide to the Finance and Investment Committee, annually, an inventory of all contracts in force at the time of the report, their ending dates and any assessment or related relevant considerations.

Policy Number:	1.1.5 Revenue Agreements, Funding Reporting and Other Revenues
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Relevant Statutory / Regulatory Linkages:

Individual Funder Agreements

Policy Statement (Intent and Scope)

King’s University College (King’s) will make every effort to maximize its revenues and to use them to achieve its Mandate and stated goals / outcomes, consistent with all funding agreements it enters into.

1. The Principal or designate will negotiate, supported by the Board as appropriate, affiliation agreements with the University of Western Ontario and other parties and partners as deemed appropriate by the Principal.
2. The UWO affiliation agreements will be presented to the Board for approval.
3. The Principal will ensure all contractual requirements are met as per the prevailing agreement in terms of outcomes / goals, permitted uses of funds, insurance, collaboration, reporting and other requirements.
4. All revenues from funding agreements and other funders will be utilized consistent with the terms and conditions of these agreements, and reported on to the funding sources as per funder agreement requirements.
5. The Principal has the authority to set a fee or charge for services that occur periodically and do not materially impact revenues or create a liability for King’s.

Monitoring Report Requirements (Frequency, Content, etc.)

All revenues are to be reported by the Vice Principal, Finance and Support Services within the annual budget process and the quarterly financial updates.

Policy Number:	1.1.6 Budget Development and Monitoring
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Relevant Statutory / Regulatory

Linkages: Terms of Reference for Finance and Investment Committee;
College Council Constitution.

Policy Statement (Intent and Scope)

King's University College (King's) will develop an annual budget that supports its Strategic Plan / programs priorities:

1. Four (4) months prior to the end of the fiscal year, the Board will establish the priorities, targets and outcomes for the next fiscal year as a basis to develop a draft budget.
2. With Board consultation and with the input of all budget unit heads and academic department heads, the Principal will have developed a draft budget for the next fiscal year consistent with Board directions, targets and other relevant inputs.
3. The Finance and Investment Committee will meet to review and further develop the draft budget, based on recommendations from the Budget Committee of College Council and College Council.
4. The Finance and Investment Committee will recommend Board approval of a draft budget.
5. The draft budget will be presented to the Board by the Finance and Investment Committee Chair and Vice Principal, Finance and Support Services for amendments and approval.
6. The Finance and Investment Committee will review budget performance at each scheduled Board meeting followed by a Board review at each scheduled Board meeting.
7. The Principal or designate will present to the Finance and Investment Committee the quarterly financial update with a variance analysis that includes a rationale and action plan(s) for any material variances.
8. The Principal or designate will have prepared a projected budget outcome at the end of the second and third quarters for Finance and Investment Committee review and subsequent Board presentation.
9. The Finance and Investment Committee's role is to review the budget development within directions given by the Board, to receive and review the Principal's Monitoring Reports on behalf of the Board, and to make recommendations to the Board based on its reviews.
10. The Principal is accountable for the development, achievement and monitoring reports involving the implementation of the Board approved budget.

Monitoring Report Requirements (Frequency, Content, etc.)

The Finance and Investment Committee will provide the following Monitoring Reports:

1. A draft budget to be approved by the Board.

2. Quarterly financial updates to the Finance and Investment Committee and to the Board with variance analyses.
3. End of year budget projections at the end of the of the second and third fiscal year quarters.

Policy Number:	1.1.7 Investments and Reserves
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Relevant Statutory / Regulatory Linkages:

Statement of Investment Policies and Procedures

Policy Statement (Intent and Scope)

The King’s University College (King’s) Board can establish financial reserves at its discretion and undertake investments of available funds in order to better support its long term sustainability and initiatives, and to maximize revenues, if in compliance with King’s Statement of Investment Policies and Procedures (SIPP).

1. Based on cash flow requirements, the Vice Principal, Finance and Support Services will invest cash in excess of immediate cash flow needs in accordance with the SIPP.
2. The SIPP will be reviewed annually by the Finance and Investment Committee as part of its regular work flow.
3. The Board may establish reserve funds in the Financial Statements from net operating surpluses to address specific applications / needs, projects or for general purposes.
4. Each reserve fund will have an approved Terms of Reference, including at a minimum:
 - 4.1. Name of the reserve.
 - 4.2. Description of its purpose and any special constraints, terms or conditions.
 - 4.3. The eligible use of annual earned income and / or the principal in the reserve fund.
 - 4.4. Any low or high (cap) limits on a reserve fund’s size.

Monitoring Report Requirements (Frequency, Content, etc.)

The Finance and Investment Committee is responsible for the undertaking and monitoring of King’s investments and will report to the Board, at least annually on the security, return and placement, and potential future use of the invested funds.

Policy Number:	1.1.8 Corporate Credit Cards and Petty Cash
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Relevant Statutory / Regulatory Linkages:

Credit Card Authorization Agreement

Policy Statement (Intent and Scope)

King’s University College (King’s) will provide corporate cards to the Principal or designate for corporate purchases, and a petty cash fund for office incidental requirements.

1. Corporate Credit Card

- 1.1. Corporate credit cards, PCards or other credit vehicles, at the Principal’s discretion, will be permitted with a aggregate spending limit of \$50,000 as approved by the Principal and can be adjusted based on Board approval.
- 1.2. The Principal, or designate, and the cardholder are accountable for all use of the corporate credit card.
- 1.3. The corporate credit cards can be used for any purchase of goods or services for King’s supported by the approved purchasing documentation.
- 1.4. No personal staff, Board member, volunteer, partner or other expenses are permissible in using the corporate credit card.
- 1.5. A credit card receipt is required for all uses with a record of the date, purchased item or items, parties involved and business transacted.

2. Petty Cash Fund

- 2.1. A petty cash advance of up to \$1,000 will be maintained in total in King’s offices.
- 2.2. The Principal will designate a staff person to be responsible for the supervision of the petty cash, and the Principal is accountable for these funds.
- 2.3. Any petty cash funds utilized require a receipt that is dated, signed by the receiver of the funds, and identifies the cash value and item(s) purchased. Exceptions will be made for parking meters or machines when no receipt is provided but documentation as to time, date and location is required.
- 2.4. No petty cash funds can be used for personal staff, Board member or volunteer uses.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal is to provide all receipts for the use of corporate credit cards and petty cash to the Board Treasurer at the discretion of the Treasurer.

Policy Unit:

1.2 Human Resources

Policy Number:	1.2.1 Emergency Principal Replacement
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Relevant Statutory / Regulatory Linkages: Governance Policy 1.5.1 – Principal Executive Limitations/Requirements

Policy Statement (Intent and Scope)

When the Principal becomes sick, deceased or otherwise unavailable on an unscheduled and uncovered basis to fulfill the position’s responsibilities, and no designated Principal has been identified (e.g. not for vacations, training sessions or normal sick or bereavement leave coverage), the Board Executive Committee, will have the authority to appoint an Interim Principal.

1. A staff person or Director, upon finding out that the Principal is not able to continue to fulfill the position’s responsibilities, is to immediately contact the Chair or Vice Chair who then has responsibility to enact the Principal Emergency Replacement Program.
2. The Chair or Vice Chair of the Board will call an immediate Executive Committee meeting and appoint an Interim Principal from amongst the senior staff team, identifying appropriate Executive Limitations/Requirements, tenure duration and other factors as may be relevant and known at the time.
3. The Executive Committee will assess the incumbent Principal’s situation in terms of duration of an absence and / or ability to return to the position, and then undertake the following actions:
 - 3.1. Immediately communicate to all members of the Board of Directors the emergency replacement initiative and the actions taken.
 - 3.2. Have prepared and distributed appropriate internal and external communications, dependant on the circumstances of the situation.
 - 3.3. Monitor the Interim Principal’s activities on a minimum monthly basis, and continue to monitor as relevant, the incumbent Principal’s circumstances.
4. If the incumbent Principal is not able to continue in the position for any reason after a reasonable length of time as determined by the Executive Committee, the Committee will undertake a recommendation to the Board of Directors on the need for and the strategy / process to secure a new Principal.

Monitoring Report Requirements (Frequency, Content, etc.)

The Chair or designate is:

1. To report to the Board immediately upon the appointment of an Interim Principal by the Committee.
2. To report at each subsequent Board of Director’s meeting on the current status of the situation and the actions being taken.

3. To make a recommendation to the Board of Directors for their consideration related to the possible need and process for selecting a new Principal.

Glossary of Key Policy Terms

Emergency Replacement Constitutes a situation where the Principal is scheduled to be at work/on duty, and they experience a health, accident or other circumstance that will not allow the individual to fulfill the roles and responsibilities of the Principal position and no short-term position coverage has been arranged by the Principal. This situation would also occur if the Principal was to disappear and his/her whereabouts was unknown, or became deceased unexpectedly.

Policy Number:	1.2.2 Recruitment, Retention and Turnover
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Relevant Statutory / Regulatory Linkages:

- Ontario Labour Relations Act
- Ontario Human Rights Code
- Ontario Employment Standards Act
- Employee Group Contracts and Terms of Employment

Policy Statement (Intent and Scope)

King’s University College (King’s) strives to fairly recruit and retain the best staff members possible to achieve its Mandate. The Principal will:

1. Seek to employ and / or contract the most competent available person without regard to race, ancestry, place of origin, colour, creed, gender, orientation, age, marital status, family relationships, disability, residence or political affiliation.
2. Pursue a more diverse workforce that reflects the diversity of the communities served through targeted advertising and contacts, focused information sessions, specialized training and orientation activities and other supports, including a preference for such candidates when rated equal to or similar in capabilities, training and experience with other candidates.
3. Establish a clear understanding of the conditions under which each person is being employed and / or contracted, and to provide working conditions and an atmosphere conducive to enabling each staff member to contribute to the fullest extent of his / her skills and competence.
4. Make every effort to employ or contract individuals who have the skills, abilities and attributes necessary to successfully fulfil the position requirements.
5. Provide a process for staff who are leaving King’s to provide feedback / undertake an exit interview.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will provide an annual report:

1. Summarizing annual recruiting / contracting and turnover activity and exit survey results.
2. Identifying significant trends in staffing, based on exit interview results and data analysis.
3. Informing the Board of Directors on anticipated future staffing actions required.

Policy Number:	1.2.3 Staff Succession, Recruitment and Personnel Files
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Relevant Statutory / Regulatory Linkages:

- Information of Freedom and Protection of Privacy Act
- Employee Group Contracts and Terms of Employment
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Policy Statement (Intent and Scope)

King’s University College (King’s) strives to fairly recruit and retain the best staff members possible to achieve its Mandate.

Commitment to Employment Equity: King’s University College is committed to Employment Equity, welcomes diversity in the workplace, and encourages applications from all qualified individuals, regardless of ethnicity, race, disability, sexual orientation, or gender identity.

Commitment to the Catholic Mission: The College is committed to advancing the Catholic intellectual tradition and welcomes faculty, staff and students from all faiths and backgrounds.

1. Staff Succession Planning

- 1.1. The Principal will ensure that a staff succession plan will be developed for all senior administration positions at King’s.

2. Staff Recruitment

- 2.1. All position vacancies will be filled in accordance with practices identified in the negotiated group contracts.
- 2.2. All staff positions will have a position description that states the purpose of the role, the accountabilities, education required, experience required, outline of skills and complexity of the position, supervision, outline of physical and psychological environment, and potential health and safety issues.

3. Personnel Files

- 3.1. King’s will maintain individual personnel files on each employee that will contain the original Offer of Employment, signed performance appraisals, and any subsequent adjustments, training activities, requests for leave, disciplinary letters and other related materials.
 - 3.1.1. Personnel files for faculty members will be maintained in the Office of the Principal.
 - 3.1.2. Personnel files for all other employees will be maintained in the Office of Human Resources.
- 3.2. Each employee has the right to personally review their personnel file through a request to the Principal or designate and such a request cannot be unreasonably delayed or denied.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will report to the Board annually that the staff recruitment and personnel files management activities has been in compliance with the policy or identify and breaches and the actions taken.

Policy Number:	1.2.4 Staff Performance Appraisals
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Relevant Statutory / Regulatory Linkages:

Employee Group Contracts and Terms of Employment

Policy Statement (Intent and Scope)

King’s University College (King’s) believes in the importance of supporting staff development and performance through regular staff evaluations. As outlined in each employee group’s collective agreement, the Principal or designate will ensure the

1. Development and implementation of an annual employee performance appraisal program that at a minimum:
 - 1.1. Assesses performance against annual set goals and position requirements, measures and expectations.
 - 1.2. Identifies both strengths and areas for improvement.
 - 1.3. Identifies and directs further skill and capacity development needs with associated training and educational needs.
 - 1.4. Establishes annual goals by position for the next performance evaluation period.
 - 1.5. Is signed as presented with copies received by the Principal or designate, the applicable department head and the staff member, with the original document placed in the employee’s personnel file.
2. Performance appraisals will be completed for all full time, employees employed by King’s for more than one (1) year.
3. Performance appraisals will be implemented by the direct supervisor of a position and the Principal or designate will ensure all staff receive an annual performance approval.
4. The Principal’s performance appraisal will be completed by the Board as per the Governance Policy.

Monitoring Report Requirements (Frequency, Content, etc.)

The Employee Relations Committee will report annually to the Board that the staff performance appraisals have been completed and on any concerns or challenges that may have evolved.

Policy Number:	1.2.5 Staff Compensation and Benefits
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Relevant Statutory / Regulatory

- Linkages:**
- Ontario Employment Standards Act
 - Funder Agreements
 - Pay Equity Act
 - Employee Group Contracts and Terms of Employment

Policy Statement (Intent and Scope)

King’s University College (King’s) will ensure compensation for employees, as well as appropriate employee benefits are within the parameters of the applicable collective bargaining agreement and the resources available to the organization.

1. The Employee Relations Committee (ERC) will prepare for negotiations on a timely basis, and ahead of any negotiations receive direction from the Board or its designate committee on offers and / or amendments to the existing labour contract or contracts.
2. The ERC’s Negotiation’s Committee will undertake and lead labour negotiations supported by the Board and external resources as required.
3. All negotiated labour agreements need to be approved by the Board of Directors before implementation. No amendments to such contracts can be undertaken without Board approval.
4. The ERC will keep the Board apprised / informed of the key factors and influences on labour agreement settlements, the progress of negotiations, offers and counter-offers, etc.

Monitoring Report Requirements (Frequency, Content, etc.)

The ERC will report to the Board:

1. Annually that all staff compensation and benefits paid are consistent with all staff labour contracts or the non-union staff compensation program.
2. The ERC will report every three years to the Board on the market comparison of KING’S non-unionized staff compensation and benefits for Board assessment and direction, as well as labour contract negotiations as per negotiating cycles.

Policy Number:	1.2.6 Discrimination, Bullying and Related Behaviours
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Relevant Statutory / Regulatory Linkages:

Human Rights Act / Code
Harassment and Discrimination Policy
 Workplace Violence Policy

Policy Statement (Intent and Scope)

King’s University College (King’s) will provide a work environment that is free from all forms of emotional and physical violence and is respectful and tolerant of and values all students, staff, faculty, administration and others no matter their age, ethnicity, backgrounds, orientation, financial means and similar perspectives.

1. The Principal or designate will ensure there is a copy of all relevant Human Rights and related acts, regulations, policies and guidelines and contact offices and numbers in all King’s locations, and make it available upon request by students, staff, volunteers and Board members.

Monitoring Report Requirements (Frequency, Content, etc.)

The ERC will report to the Board annually on the number of such claims, a summary of the actions taken and the results to ensure all statutory privacy requirements are met.

Policy Unit:

1.3 Marketing and Communications

Policy Number:	1.3.1 Communications Plan and Branding
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Relevant Statutory / Regulatory Linkages:

Patents _____

Policy Statement (Intent and Scope)

King’s University College (King’s) requires effective, comprehensive and timely written, printed, verbal, multi/social media, website and other communication and information transmission strategies to effectively inform and engage all its stakeholders on a meaningful basis.

- 1. Communications Plan and Branding
 - 1.1. King’s will have developed each year, an Annual Communications Plan that will guide and direct the communications strategies, expenses and undertakings of the organization on a planned and scheduled basis. This would be presented annually to the Board for information purposes only.
 - 1.2. The Principal will ensure that the organization has a branding strategy, utilizing patented logos, core messages and related reinforcement activities in place that is approved by the Board of Directors.
 - 1.3. The Principal will undertake, either at the Board’s direction or based on internal staff assessments, a recommendation to the Board of Directors for the development of a new branding program as the need occurs from time to time.
 - 1.4. The Principal will ensure that the organization’s logo, core messages and related branding and promotional materials are consistently used across all internal and external communications, forms, letterhead, websites, social media and related materials and applications.
- 2. Reporting
 - 2.1. The Principal will have produced each year, an Annual Report on the activities, finances and related considerations of the organization, with the content, distribution and related consideration approved by the Board.
 - 2.2. The Board of Directors, through a motion or via policy, or the Principal at their discretion, can have reports on the affairs and functions of the organization prepared based on specific needs and benefits.
 - 2.3. Board directed reports and communications require approval of all content by the Chair and/or the Board Executive Committee.
- 3. Communications Quality
 - 3.1. The Principal is responsible for the quality of all communications to achieve the following:

- 3.1.1. Clear language that is understood by the target audience(s)
- 3.1.2. Quality assurance procedures to ensure the information is as accurate, factual and timely as possible
- 3.1.3. Content that is fair, balanced, and complete in its presentation.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will report to the Board of Directors on the range of activities associated with this policy.

Policy Number:	1.3.2 Authority to Speak on Behalf of King’s University College
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Relevant Statutory / Regulatory Linkages:

Policy Statement (Intent and Scope)

King’s University College (King’s) recognizes the importance of having only identified and approved spokespersons for the organization.

1. The Chair, or a person designated by the Chair, in consultation with the Manager of Communications and the Principal, may speak on behalf of the King’s corporate entity to the media, at conferences, in planning forums or any other setting, unless a Board motion is passed that restricts the Chair or the Chair’s designate power to do so, or sets limits on what content can be communicated.
2. The Principal or designate can speak on behalf of King’s operations, services, administration, community activities or related parameters at any time, unless restricted by a motion of the Board of Directors. The Principal cannot speak on behalf of the Board of Directors unless authorized to do so by either the Chair directly or the Board of Directors through a motion.
3. No other member of the Board of Directors, staff person, foster parent or volunteer connected with King’s can speak publicly on behalf of the organization in terms of cases, policies, operations, funding commitments or contractual obligations, unless designated by the Chair of the Board, the Board of Directors, or in terms of a staff person, by the Principal.
4. The Principal will have an Operating Policy with aligned procedures in place for the use of any social media platforms for King’s business or affairs.
5. Any breach / non-compliance of this Board policy is to be immediately reported to the Chair by any person discovering such an issue. The Chair will determine appropriate response by KING’S, and at a minimum, will report such an occurrence at the next Board meeting.

Monitoring Report Requirements (Frequency, Content, etc.)

Principal to report on policy compliance and any breaches annually and actions taken.

Policy Unit:

1.4 Administration

Policy Number:	1.4.1 External Memberships and Participation
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Relevant Statutory / Regulatory Linkages:

Policy Statement (Intent and Scope)

King’s University College (King’s) will actively participate in/with external organizations, provincial/national/international bodies, planning forums, professional and sector groups and other bodies which are relevant to and bring value to the mandate and work of King’s as a Catholic post-secondary educational institution.

1. Membership or participation in external organizations or forums can involve students, Board members, volunteers, staff and faculty members.
2. The Principal will ensure that a current inventory of all organizations, planning forums and related external bodies participated in by the organization is available for review.
3. A review will be undertaken every year of each external body or organizational membership participated in to determine the benefits being realized compared to the investments being made of time and funds.
4. Where membership fees are required, the Principal will undertake a review on such activities during the annual budget deliberations.
5. Board members, faculty, staff and administration who participate in external bodies and organizations are encouraged to be active, take leadership roles and to regularly report back to the appropriate level of the organization on these efforts when relevant decisions are made, research outcomes become available or strategic directions are established that are of importance to King’s.
6. Staff or faculty membership and / or participation in any external body or organization when they represent or speak on behalf of King’s requires the approval of the Principal.
7. The Principal, in regards to all staff participation, has the right to terminate membership / participation in an external organization at their discretion, if such participation is deemed not to have appropriate value to King’s or interferes with the staff person’s core responsibilities.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will review all organizational memberships on an annual basis and report on significant institutional issues to the Board.

The Budget Committee will review all membership fee requests for external organizations and consider the benefits of membership, in consultation with the primary King’s contact/organization member, in relation to the cost.

Policy Number:	1.4.2 Reported Complaints, Concerns and Incidents
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Relevant Statutory / Regulatory Linkages:

- Group employment contracts
- Student Code of Conduct
- _____

King’s encourages input and comments from all its stakeholders and partners whether positive or negative.

1. All complaints and/or grievances will be made in accordance with the process outlined in each negotiated group contract and Student Code of Conduct, if applicable.
2. Complaints or concerns regarding any matter at King’s can also be brought to the Western University Ombudsperson for further investigation.

Monitoring Report Requirements (Frequency, Content, etc.)

1. The Principal, or designate, will report on any ongoing or settled grievances to the Employee Relations Committee.
2. The annual Western University Ombudsperson report will be provided to the Employee Relations Committee.

Policy Number:	1.4.3 Confidentiality and Access to Information
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Relevant Statutory / Regulatory Linkages:

- Freedom of Information and Protection of Privacy Act
- Provincial Regulations
- Funder Agreements
- Not-For-Profit Corporations Act
- Personal Information Protection and Electronic Documents Act
- Other Related Acts

Policy Statement (Intent and Scope)

King’s University College (King’s) respects people’s right to privacy and will strive to ensure that any and all confidential information remains confidential.

1. The Principal will ensure King’s conforms to and follows all legislative acts and regulations related to information, written, verbal and electronic, and privacy laws involving students, faculty, staff and organizational information management and disclosures.
2. The Principal will ensure a Privacy Officer or equivalent is appointed when required under legislation.
3. The Principal will ensure an Access to Information process is in place that meets the requirements of the Access to Information and other relevant Acts.
4. Any breach of confidentiality will be reported to the Principal within forty-eight (48) hours of the breach, and the Principal will determine the action or actions to be taken based on legislative requirements.
5. For any significant privacy breaches, the Principal will inform the Board Chair within forty-eight (48) hours.

Monitoring Report Requirements (Frequency, Content, etc.)

Annual Monitoring Report to the Board by the Principal affirming compliance, or summarizing breaches and actions taken.

Policy Number:	1.4.4 Assessing Risk and Insurance
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Relevant Statutory / Regulatory Linkages:

Policy Statement (Intent and Scope)

King’s University College (King’s) takes seriously its responsibility to ensure that its programs, services and operations have all financial, liability, physical / health and reputational risks minimized and managed effectively.

1. The Principal will ensure that risk assessments are undertaken for King’s programs, services and operations using formats approved by the Board, as follows:
 - 1.1. For significant new services or operations, a comprehensive risk assessment prior to the start-up of delivery.
 - 1.2. When a program or service is reviewed within the defined review cycle or a major amendment / repositioning of the program or service occurs.
 - 1.3. Annually for all significant existing core programs, services and operations.
2. Risk situations are to be managed through:
 - 2.1. Compliance with all statutory, regulatory, Board Policy and funder requirements.
 - 2.2. Effective staff and volunteer training and development in regards to risk elements, past experiences, the need for vigilance, staff and volunteer responsibilities, etc.
 - 2.3. Immediate response and investigations related to any form of communications that identifies a risk related to physical injury, mistreatment / abuse, financial or legal considerations.
3. King’s will annually review all travel, vehicle, fire, liability, errors and omissions and related insurance policies and make recommendations to the Board via the budget process or separately, on insurance levels, deductibles, conditions and premiums, and as per relevant funding agreement requirements.
4. King’s will use external risk evaluators when the Principal deems this to be appropriate, or as directed by the Board, or as directed / required by a regulatory or statutory requirement, or funder.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will provide an annual report on risk assessment processes, strategies and their results to the Board of Directors, with insurance levels and premiums incorporated into the draft budget.

Policy Number:	1.4.5 Regulatory and Legislative Compliances
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Relevant Statutory / Regulatory Linkages:

Policy Statement (Intent and Scope)

King’s University College (King’s) takes seriously its responsibility to comply with all known regulatory, legislation and funder requirements.

1. All programs and services offered directly, through partnerships or sponsored by King’s in all its operations will be compliant with:
 - 1.1. All relevant regulatory and statutory requirements.
2. The Principal will notify the Board of any significant breaches of compliance as follows:
 - 2.1. Significant breaches that could impact the reputation, liability or continuity of King’s or an individual program and service are to be identified to the Chair or designate immediately.
 - 2.2. The Principal will identify to the Board of Directors on a monthly basis any significant breaches in compliance where regulatory or statutory requirements result in a response, change or other action by King’s.
3. The Principal will undertake an investigation of any significant breaches in compliance, ensuring the following:
 - 3.1. A thorough investigation with a report to the Board.
 - 3.2. The development of recommendations on how to eliminate or at a minimum reduce the probability of future breaches.
 - 3.3. A follow-up report within one year to the Board indicating how King’s has responded to specific major compliance incidents.
 - 3.4. The Principal, within their own discretion, or as directed by the Board of Directors, can secure outside professional expertise to assess compliance issues, make recommendations and provide ongoing advice and monitoring on any compliance issue or issues.

Monitoring Report Requirements (Frequency, Content, etc.)

Quarterly Due Diligence report to the Finance and Investment Committee. Annual report by the Principal profiling known breaches, actions taken, impacts incurred and future considerations.

Policy Number:	1.4.6 Records Management
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Relevant Statutory / Regulatory Linkages:

- Freedom of Information and Protection of Privacy Act
- Employee Group Contracts and Terms of Employment
- Personal Information Protection and Electronic Documents Act

Policy Statement (Intent and Scope)

King’s University College (King’s) will develop, apply and evaluate an integrated records management function for all activities of the organization that complies with all statutory, regulatory, and other requirements, and supports an effective information management system.

1. Records management is to include all written, electronic, form-based and other types of records and files maintained by King’s.
2. The Principal will ensure that a request or authorization for access to or disclosure of information from any records and files of the organization comply with governing legislation and regulatory requirements.
3. All records and related files, written and electronic, are to be maintained in a secure status with appropriate procedures for access, disclosure, backup and monitoring of each entry into and use of the records and files.
4. An annual audit process is to be completed on records and files maintained by King’s to ensure mandatory records, forms and related materials are in place and current within Ministry defined targets.
5. The Principal, or designated Privacy Officer, will ensure that a schedule is developed that identifies the following:
 - 5.1. The types of records and files to be maintained for each program area or each business operation.
 - 5.2. How long a record or file category needs to be maintained before it can be stored or destroyed.
 - 5.3. Who is authorized to destroy records and files, and by what process.
 - 5.4. The maintaining of a tracking record of when record and file destructions have occurred.
6. The Principal will ensure that confidential records, involving students, staff, contracts, etc. have a procedure associated with them that informs an individual student, faculty, administrator, or staff member about a request for information from their records and / or files prior to permitting access, their entitlements on the disclosure of such information or their own ability to access their file as may be required under pertinent legislation.

Monitoring Report Requirements (Frequency, Content, etc.)

Report to the Board by the Principal annually on compliance of the policy and any breaches that have occurred and the action(s) there.

Policy Number:	1.4.7 Health and Safety
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Relevant Statutory / Regulatory Linkages:

- Employee Group Contracts and Terms of Employment
- Ontario Employment Standards Act
- Labour Relations Act
- Occupational Health and Safety Act
- Ontario Human Rights Act / Code
- Provincial and Municipal Fire Regulations

Policy Statement (Intent and Scope)

King’s University College (King’s) will make every reasonable effort to maintain a safe and healthy work environment for students, faculty, staff, administration, partners, volunteers and visitors. Protecting people from injury or occupational disease and harm is a continuing objective.

King’s will have in place a Health and Safety Program:

1. The Principal or designate will establish and maintain a Joint Occupational Health and Safety Program for King’s, consistent with regulatory and approved labour agreement requirements.
2. The Principal or designate will review incident reports and amend the Joint Occupational Health and Safety Program as required based on consultation with staff, union representatives and others as appropriate.
3. The Principal or designate will post a written copy of the Occupational Health and Safety Act and King’s Joint Health and Safety Program in all its work locations, and make it available to students, faculty and staff electronically.

Monitoring Report Requirements (Frequency, Content, etc.)

1. An Annual Health and Safety report will be presented to the Board of Directors summarizing:
 - 1.1. Training provided relative to the Occupational Health and Safety Act and its regulations.
 - 1.2. Unreported or unresolved health and safety issues.
 - 1.3. Accident statistics, identifying trends and summarizing causes.
 - 1.4. Any significant incidents involving injury to people.
 - 1.5. A report on incidents of work refusals due to health and safety concerns.
2. A report on any Ministry of Labour inspections, and the status of any orders by the Ministry written at the next Board meeting.
3. Significant health and safety incidents (matters reported to funders and / or Ministry of Labour orders) will be reported by the Principal to the Chair and / or the Executive Committee within forty-eight (48) hours.

Policy Unit:

1.5 Technology

Policy Number:	1.5.1 Services and Practices
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Relevant Statutory / Regulatory Linkages:

Freedom of Information and Protection of Privacy Act

Policy Statement (Intent and Scope)

King’s University College (King’s) will utilize a variety of technologies that support its programs and services, operations and communications based on cost-effectiveness, functionality and regulatory requirements.

1. The Principal or designate will have developed a five year King’s Technology Plan, covering all information technology services delivery, operational and related technologies and update the Plan every two (2) years.
2. The Principal or designate, through the annual budget process, will identify recommended technology investments.
3. King’s will ensure adequate staff and volunteer training to maximize the capacity and benefit of the technologies invested in.
4. King’s technologies can be secured via direct acquisition (purchased or leased) or via third party contractor(s).
5. The Principal or designate will ensure no software or equipment is added to any component / user site that does not conform to King’s standards.
6. No use of King’s technology can be undertaken to commit a fraud, to bully, to view pornography or undertake other unacceptable or illegal uses.
7. The Principal or designate will ensure a maintenance contract is in place to minimize downtime, and support updates on and training for the technologies subject to collective agreements requirements.
8. The Principal or designate will ensure the security of all KING’S systems and processes, and that periodic testing is in place to ensure the operability and security of the technology systems.

Monitoring Report Requirements (Frequency, Content, etc.)

1. King’s will provide, through the annual budget process, technology investment proposals
2. The Principal or designate will report on compliance levels met, any material breaches and the actions taken annually to the Finance and Investment Committee

Policy Unit:

1.6 Fundraising

Policy Number:	1.6.1 Fundraising and Donations
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Relevant Statutory / Regulatory Linkages:

Canadian and Provincial Tax Acts

Canadian Revenue Agency Directives

King's Foundation By-Law and Memorandum of Understanding

Policy Statement (Intent and Scope)

King's University College (King's) has a registered charitable number and works to maximize donated resources within CRA requirements, both directly but primarily through the King's Foundation.

1. The King's Board of Directors has authorized the King's Foundation to undertake all fundraising, both funds and value-in-kind activities, on behalf of King's.
2. The operating, legal and administrative arrangements between King's and the King's Foundation will be directed by a signed and dated Memorandum of Understanding between the two (2) parties that is to be reviewed and updated as necessary or at a minimum of every five (5) years or sooner if government regulations, or other events require changes to the Memorandum of Understanding.
3. King's will provide logistical and administrative supports to the KING'S Foundation at levels outlined in the Memorandum of Understanding between the partners, and consistent with KING'S resources availability and funder agreements on use of funding.

Monitoring Report Requirements (Frequency, Content, etc.)

The King's Foundation is to provide an Annual Report on activities and outcomes annual to the King's Board and publically.

2 Programs and Services

Policy Unit:

2.1 Development and Delivery

Policy Number:	2.1.1 Strategic Plan Alignment
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Relevant Statutory / Regulatory Linkages:

Funder Agreements

King's University College Strategic Plan

Policy Statement (Intent and Scope)

All King's University College's (King's) programs and services delivered directly, in partnership, sponsored or through others, will be aligned with the King's Strategic Plan.

1. The Principal, in consultation with the Vice-Principal & Academic Dean, and College Council, will ensure all King's programs and services are consistent with and in support of the achievement of King's Vision, Mission and Strategic Directions and Priorities identified within its current Strategic Plan, and as required by funder agreements.
2. If a program or service development and delivery initiative emerges that cannot be aligned with the Strategic Plan and / or funder agreements, then the Board of Directors must undertake a discussion as to how they wish to proceed with such an initiative, and whether the Strategic Plan needs amendment and / or redevelopment or funder negotiations are required.

Monitoring Report Requirements (Frequency, Content, etc.)

The Principal will provide an annual programs and services reports that will identify:

1. New programs and services initiatives undertaken by type and title over \$100,000 in cost.
2. Major programs and services amendments completed to significant existing programs and services.
3. Program and services terminations, closures or suspensions.