



UNIVERSITY OF
WATERLOO

University of Waterloo

CANADA AWARDS FOR EXCELLENCE

Excellence, Innovation and Wellness

Going for Silver – Office of the Provost

(Academic version)

Submission

Date: September 22, 2016

Table of Contents

	Page Number
Profile	3
Our Journey	7
Leadership and Governance	8
Strategy and Planning	20
Customer Experience	27
People Engagement	32
Process and Project Management	38
Partners and Suppliers	44
Conclusion	51

The team provides the Provost with the support he requires to achieve the objectives set out in his annual work plan along with specific objectives determined by the President. In this instance, the three main objectives are 1) the Strategic Plan 2) a New Resource Allocation Model and 3) Strategic Enrollment Management.

We endeavor to provide continuity within the office as leadership changes. Our team has developed a vision and mission that we follow to achieve our goals and the objectives of the Provost.

MISSION AND VISION OF THE PROVOST'S OFFICE

Vision:

By maintaining professionalism through communication and commitment to teamwork, the Office of the Provost will provide effective leadership and exceptional customer service to all stakeholders as we support the goal of the institution to be recognized as one of the top innovation universities in the world.

Mission:

OUR 5 Core Values

1. Leadership

By setting an example we will provide sincere and credible strategic direction. This allows transparent decisions to be made for the well-being of the university and its stakeholders.

2. Service

Our goal is to meet and exceed our customers' expectations and fulfill their needs by focusing on efficient and supportive customer service.

3. Communication

Through various methods of communication with our colleagues, we will share essential information clearly and accurately to ensure consistency across the university.

4. Teamwork

Through an individual commitment and a collaborative group effort, we will work towards a common goal by sharing responsibilities, values and skills.

5. Professionalism

We will maintain an inclusive work environment and continuously follow a set of performance standards including integrity, respect and accountability.

Including the Provost, the Office has six members in total. Following is a glimpse into the responsibilities of each member.

POSITION PROFILE – VICE-PRESIDENT ACADEMIC & PROVOST

The Vice-President Academic & Provost is the chief academic and budget officer of the University of Waterloo. Working closely with the President, he leads and supports the efforts of the deans, faculty and staff to drive academic excellence across the university. The Provost also carries operational and budgetary authority and responsibility for the day-to-day operation of the university. Among other areas of accountability, guided by the University of Waterloo's unique culture, history and mission, and the President's strategic goals, the office needs to:

- provide leadership that supports all aspects of the university, including matters academic, financial and material
- in conjunction with Senate, the President and the senior management team, set the academic goals for the university
- work with the university community to develop, interpret, communicate and implement long-range academic plans
- set academic priorities and ensure that resources are aligned with those priorities
- act to promote innovation; collaboration; excellence in research, scholarship and teaching; and a culture of transparency
- lead development and oversee implementation of the university operating budget
- support Waterloo's distinctive commitment to knowledge exchange with the local and global communities
- foster Waterloo's tradition of and commitment to collegial governance
- encourage continued development and provision of high quality programs and services to students to provide them with the richest and most rewarding learning experience possible
- support faculty deans in recruiting, retaining, developing and advancing outstanding faculty
- support the federated universities and affiliated university colleges in their continuing development and delivery of high quality programs
- support the President in advancing external relationships
- serve as deputy to the President in his absence

POSITION PROFILES – STAFF

Executive Officer, Academic

The Executive Officer is responsible for the financial oversight, human resources activities, and management of all administrative functions of the Office of the Provost. The Executive Officer provides leadership and support on special projects and strategic initiatives, and serves as an advisor to senior administration on confidential and non-routine matters. As the senior administrative staff position in the Office of the Provost, the Executive Officer provides continuity as leadership changes.

Executive Assistant

The Executive Assistant provides resources and support with respect to the academic hiring process from advertising through to acceptance of an offer in accordance with university policies and procedures as well as training on the various processes to faculty and staff. This position provides financial management of the Office of the Provost operating account. This Executive Assistant provides administrative support and back-up to the Executive Officer and back-up to the Administrative Assistant as needed.

Administrative Assistant

The Administrative Assistant is responsible for all sabbatical requests and other leaves, administrative appointments, University Professor designations, and coordinating the Provost delegate on the Faculty, Tenure and Promotion Committee. The Administrative Assistant is responsible for monthly updates to the Academic Chairs' and Deans' listings and is co-chair of the Deans' Administrative Group meetings. The Administrative Assistant provides back up to the Executive Assistant as needed.

Computing/Office Assistant

The Computing/Office Assistant is responsible for the development and management of the custom records database system and must ensure that the system is kept up-to-date and upgraded when necessary. The Computing/Office Assistant is also responsible for the approval of staff positions on behalf of the Provost and, maintenance of the Office of the Provost website. The Computing/Office Assistant provides back up to the Office Assistant as needed.

Office Assistant

The Office Assistant is responsible for all scheduling of the Provost's calendar, logistics and briefing materials for the Provost's meetings. The Office Assistant handles reception for the office and organizes events on behalf of the Provost. The Office Assistant provides back up to the Computing/Office Assistant as needed.

OUR JOURNEY

Over the last six to seven years the Office of the Provost has seen a great deal of change in senior leadership of the office. With varying work styles of numerous provosts it was difficult to have a sense of stability. In 2014 Dr. Ian Orchard took up the position of provost. His new leadership style provided a positive outlook moving forward.

The Office of the Provost underwent a reorganization in 2015 to address succession planning and the ability to provide back-up in all situations. These changes set the foundation to work towards our silver certification.

Our journey began when we met with Marilyn Thompson and Nancy Collins for an Excellence Canada Planning meeting to provide us with an overview of what we could expect and to prepare us for the survey launch on November 30, 2015.

All staff, including the Provost, participated in the on-line survey which resulted in varying answers to the questions. The staff held a half day retreat in late December to discuss the results of the survey where plans for moving forward emerged.

In February 2016, we began meeting with Nancy Collins, who liaised with the University's Excellence Canada Coach Catherine Neville, to review each of the six drivers to satisfy the criteria for silver certification. From these meetings we identified areas that we excel in and areas that could benefit from improvement. We ranked each statement under the drivers by giving it a score out of 40 which clearly showed our strengths and weaknesses.

Beginning in June 2016, staff met each day for two hours to prepare our submission focusing on our September 2nd goal for completion.

The scope of our application is agency-wide and your contact is

Kim Gingerich

Executive Officer, Academic

Office of the Vice-President Academic & Provost

200 University Avenue West., Waterloo, Ontario, N2L 3G1

Phone: 519-888-4567 x-33187

katginge@uwaterloo.ca



The remainder of this submission will present what we have done to address the Standard, with supporting evidence.

1. Leadership and Governance

<p>a) The senior leadership team endorses and supports the following operating principles:</p> <ul style="list-style-type: none"> • Leadership involvement • A primary focus on relevant stakeholder experience • Co-operation, teamwork, and continuous learning • A focus on excellence, innovation and wellness • A focus on continual improvement • Commitment to fact-based decision-making through the use of data and measurement • Commitment to corporate social responsibility • Commitment to good governance, including enterprise risk management, and financial controls. 	
<p>Through our day-to-day tasks, our office supports all key management decisions, activities and policies that are put into place.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • We have two great leaders that interact with the campus community on various levels. As head of the Office of the Provost, Ian Orchard works closely with the President to lead and support the efforts of the deans, faculty and staff to drive academic excellence. The Provost is also responsible for the day-to-day operations of the university as the chief academic and budget officer. • The Provost is a member of a number of external committees: Ontario Council of Academic Vice-Presidents (OCAV) provides leadership on matters related to educational excellence, the advancement of academic quality, and major policy issues affecting the academic operations of universities. The committee meets four times a year. The Provost is also a member of OCAV sub committees: <ul style="list-style-type: none"> - Funding Review Committee - Data Steering Committee (Chair) U15 Academic Affairs Committee shares knowledge, advances collaborative initiatives and discusses ways to maximize the full benefits of cooperation among the member institutions. The committee functions as a sub-committee of the U15 executive heads. The Committee also provides advice, research and guidance to the executive heads or other U15 committees. The U15 meets twice a year. 	<p>https://uwaterloo.ca/provost/about-office-vice-president-academic-provost</p>

- Staff in the office support the Provost’s involvement on internal and external committees by providing and preparing appropriate documentation and presentations.

Leadership involvement

- In December we developed our Vision, Mission and 5 Core Values.
- Currently our yearly plans are based upon our cycle of events. Creating a work plan will allow us to document our projects on an annual basis and measure our progress.
- The Provost prepares his annual work plan in April of each year reflecting on the President’s objectives that have been approved by the Board of Governors. The President reviews and signs off on the Provost’s plan.
- All direct reports to the Provost prepare annual plans for their unit and are discussed during monthly update meetings throughout the year. These plans are signed-off as part of the annual performance review process.
- The Provost leads and participates in numerous Board, Senate and University level meetings that govern the University.

A primary focus on relevant stakeholder experience

- Providing the best customer experience is a primary objective of our office which is evident in our procedures.
- The Provost’s meetings and events are tracked to prioritize his time to support achievement of objectives. For example, the Provost has approximately 1300 meetings and events each fiscal year. Each one of these meetings involves one or more stakeholder. These meetings are in addition to the unexpected visitors, email messages and telephone inquiries.

[2.1 - Provost’s Office Vision and Mission Statements](#)

[Orchard 2016-2017 Work Plan](#)

[Perf.Reviews.Sr.2015](#)
[Perf.Review2s.Deans.2015](#)

[Board and Senate and University Level Meetings](#)

[Employee Handbook – Table of Contents](#)

[12.1 - Calendar Management](#)

<p>Co-operation, teamwork, and continuous learning</p> <ul style="list-style-type: none">• The Provost encourages participation from all of his direct reports. Through weekly, monthly and one-on-one meetings the senior administration work together towards achieving mutually agreed upon goals.<ul style="list-style-type: none">○ Info Group○ Deans Council/Deans Group○ New Resource Allocation Model Steering Committee○ Staff Info Group • Our 5 core values demonstrate our commitment to co-operation, teamwork, and continuous learning. • Our open door policy provides a welcoming work environment. • Staff hold weekly update meetings which provide an outlet to discuss the day-to-day operations of the office and how best we can support each other. • We provide training sessions for faculty and staff to facilitate continuous learning and consistency across the campus.<ul style="list-style-type: none">○ Lunch and Learn Training Sessions○ New Chairs' Workshop • Staff have been cross-trained in order to have optimal coverage of each position at all times. • Professional Development for all staff is encouraged and discussed at annual performance reviews. • Nature of the governance structure of the University requires teamwork (most policies/procedures are governed by committee). • Dual governance structure – Board of Governors and Senate requires collegial teamwork to carry out the vision of the University.	<p>https://uwaterloo.ca/secretariat-general-counsel/sites/ca.secretariat-general-counsel/files/uploads/files/org_2_12.pdf</p> <p>https://uwaterloo.ca/provost/reporting-structure-organizational-charts</p> <p>2.1 - Provost's Office Vision and Mission Statement</p> <p>SRC Org Change Provost's Office</p> <p>Training records available from the Executive Officer upon request</p> <p>https://uwaterloo.ca/secretariat-general-counsel/governance</p>
---	---

<p>A focus on excellence, innovation and wellness</p> <ul style="list-style-type: none"> • We strive for excellence in our area by ensuring that all paper work flows through our office in a timely, efficient, accurate and confidential manner. • Our processes are reviewed regularly to ensure that we are able to meet the above criteria. • We continually look for new and innovative ways to tackle our tasks. For example, we have streamlined our staff hiring process through Lean, our faculty files are now electronic and easier to access by all. • The strategic theme, Robust Employer-Employee Relationship focuses on wellness. • See UW Strategic Plan – “to be recognized as one of the most innovative universities in the world”. • Eight themes – Uniquely Entrepreneurial, Robust Employer-Employee Relationship, Transformational Research, Global Prominence and Internationalization, Vibrant Student Experience, Sound Value System, Experiential Education, Outstanding Academic Programming. <p>A focus on continual improvement</p> <ul style="list-style-type: none"> • In 2012/13 the office went through an extensive renovation to improve work spaces for all staff and to allow for future growth. • Security in the office was reviewed and additional measures put in place (additional panic buttons, blue lights to alert danger). • In 2013 we moved towards paperless files and electronic supporting documentation related to faculty members. • In late Fall 2014 the paperless file project was completed. • In late Fall 2014 the office saw growth in its members by adding a receptionist to the team. 	<p>Employee Handbook – Table of Contents</p> <p>Employee Handbook Procedure</p> <p>https://uwaterloo.ca/strategic-plan/</p> <p>UW Strategic Plan Implementation Process</p> <p>3.3 – Emergency Evacuation for Provost’s Office</p> <p>3.4 – Emergency Situation in Provost’s Office</p> <p>3.5 – Panic Button Testing</p>
--	--

<ul style="list-style-type: none">• In 2015 the office went through a reorganization which provides back-up for all positions and succession planning. The re-organization has improved efficiencies in our work processes.• The office monitors changes made to university policies and procedures as they relate to faculty and staff as there is a direct link to the paper work that flows into the office for approval.• The Provost chairs committee meetings of his direct reports to receive guidance and feedback on how the University can improve its day-to-day operations.• Our office focuses on health and wellness of the employee. We have 3 sit-stand desks and staff are encouraged to get up and move about each morning and afternoon. <p>Commitment to fact-based decision-making through the use of data and measurement</p> <ul style="list-style-type: none">• Our office works closely with Institutional Analysis and Planning (IAP) who provides data related to student enrollment figures which is reported to the government. 92% of our annual operating budget comes from student tuition or government funding related to these students. Institutional decisions are made based on the funding we receive, for e.g. new programs, faculty and staff positions and student support, etc.• The University has developed its Strategic Mandate Agreement between the Ministry of Training, Colleges and Universities and the University of Waterloo. This agreement outlines the role the University currently performs in the post-secondary education system and how it will build on its current strengths to achieve its vision and help drive system-wide objectives articulated by the Ministry's Differentiation Policy Framework.• Institutional decisions are made based on the data and measurements that we receive through our key performance indicators. For example:<ul style="list-style-type: none">○ Students<ul style="list-style-type: none">- Quality of our students- Retention Rates○ Co-operative Education<ul style="list-style-type: none">- Enrollment numbers	<p>SRC Org Change Provost's Office</p> <p>Deans' Council Deans' Group Info Group</p> <p>https://uwaterloo.ca/institutional-analysis-planning/</p>
---	---

<ul style="list-style-type: none">- Employment Rates<ul style="list-style-type: none">○ Research<ul style="list-style-type: none">- Sponsored Research Awards○ Faculty and Staff<ul style="list-style-type: none">- Employment Information○ Resources<ul style="list-style-type: none">- Finance- Library- Advancement (donations) <p>Commitment to corporate social responsibility</p> <ul style="list-style-type: none">● The Office of the Provost participates in green initiatives (paperless filing system and recycling).● The Office of the Provost participates in the United Way campaign (President, Provost and Secretariat) to raise money for the United Way annually through bake sales, BBQ's, silent auctions, etc.).● The Office of the Provost participates in the Mental Health Awareness Day.● HeForShe Impact 10x10x10 by providing support through research projects, student scholarships, faculty funding, outreach for Aboriginal females and a presidential speaker series. <p>Commitment to good governance, including enterprise risk management, and financial controls</p> <ul style="list-style-type: none">● Commitment to good governance starts with following the University of Waterloo's basic principles by:<ul style="list-style-type: none">○ Leading by example○ Maintaining constructive Relationships○ Taking the initiative to make things better - We have a commitment to accountability, fairness and transparency	<p>https://uwaterloo.ca/united-way/</p> <p>Mental Health Awareness Day</p> <p>HeForShe IMPACT 10x10x10</p>
---	---

b) In the decision-making process, the university considers the wide-spread impact of decisions on students, employees and other stakeholders. Impacts include quality, safety, health and societal issues.

Through the decision making process, the leadership team and staff are careful to ensure that excellence and wellness issues are taken into consideration.

Actions

The campus community is our number one concern. Decisions that impact students, faculty and staff are made by governing bodies which include members of our stakeholder groups.

Safety

- Based on a recommendation to the Provost, security cameras were installed around campus, lighting was enhanced and measures to increase safety were addressed with our Ring Road traffic. Procedures are in place to address campus closures during extreme weather conditions.
- The University has an [Emergency Response Plan](#) designed to keep students, faculty and staff safe.
- On-line mandatory training courses must be completed by all students, faculty and staff
 - Employee Safety Orientation
 - Workplace Violence Awareness
 - WHMIS
 - Accessibility for Ontarians with Disabilities

Quality

- The [Centre for Teaching Excellence](#) fosters teaching and learning of the highest quality at Waterloo.
- Through the Strategic Plan, we are committed to developing high quality teaching and learning spaces as well as providing additional study space for students.
- As stated in the University’s [Strategic Mandate Agreement](#), “we will put students first by providing the best possible learning experience for all qualified learners in an affordable and financially sustainable way, ensuring

Evidence (Appendices)

[Committees and Councils](#)

<https://uwaterloo.ca/secretariat-general-counsel/policies-procedures-guidelines/guidelines/weather-closing-guidelines>

[Policy 34](#)
[Policy 60](#)

<https://uwaterloo.ca/safety-office/training/training-programs>

<https://uwaterloo.ca/accessibility-services/customer-service-standard-and-training>

<p>high quality and globally competitive outcomes for students and Ontario’s creative economy.”</p> <p>Health</p> <ul style="list-style-type: none"> • The University has a Pandemic Plan in place to address potentially difficult situations. • The University contributed funding to the expansion of the Health Services building. • Flu shots are available from Health Services to the campus community. <p>Societal</p> <ul style="list-style-type: none"> • The University has an AccessAbility Services department as well as an Equity Office to address societal issues on campus. • Multi-Faith Prayer Spaces have been made available in the Student Life Centre. • Following our Principles of Inclusivity, we support diverse groups on campus such as Lesbian, Gay, Bisexual, Transgendered, Transsexual, Aboriginals, Persons with Disabilities and Racialized people. 	
---	--

<p>c) There is a method to review and ensure compliance with relevant provincial and national legislation, regulations and standards, including human rights, privacy, health and safety, disability, accessibility, employment standards, etc.</p>	
<p>There is a method to review and ensure compliance at the university level.</p>	
<p>Actions</p> <ul style="list-style-type: none"> • All of our units on campus that deal with legislation review practices each year to ensure that the university is in compliance. • On a yearly basis the Office of the Provost reviews the Health, Safety and Environment policy to ensure that we are in compliance with the Occupational Health and Safety Act. 	<p>Evidence (Appendices)</p> <p>Policy 34</p>

d) Governance framework policies applicable to the university's mandate and goals have been established, and such policies have been communicated across all areas.

Our office follows the same procedure which is applicable to the university to ensure that policies have been communicated to all staff.

Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost follows University policies, procedures and guidelines that have a direct impact on the day-to-day operations of our office and are applicable to the university's mandate and goals. <ul style="list-style-type: none"> ○ Faculty Hiring ○ Intellectual Property Rights ○ Tenure and Promotion ○ Sabbaticals and other leaves • We refer to our Employee Handbook for processes and procedures internal to our unit. • Our Deans' Administrative Group meetings and Lunch and Learn training sessions are used as forums to update and discuss any changes to policies, procedures and guidelines that impact our colleagues. • The Provost reviews and signs off on all expense reports for his direct reports. • Governance framework for the University is outlined in the UW Act. • Policies and procedures for the University of Waterloo are managed by the Secretariat and are available publicly. • The Secretariat completes a skills/gaps analysis of Board of Governors members when vacancies arise. • The Board of Governors completes annual self-assessments. • Risk Management Policy (Strategic Plan assessed with respect to risk). 	<p> Policy 76 Policy 73 Policy 77 Policy 3 </p> <p> Employee Handbook - Table of Contents </p> <p> Dean's Admin Group Meetings </p> <p> https://uwaterloo.ca/secretariat-general-counsel/policies-procedures-guidelines </p> <p> Policy 11 </p>

e) There is clear accountability and cascading of responsibility for excellence, innovation and wellness.	
All staff are accountable for excellence, innovation and wellness within the workplace.	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost website clearly sets out staff responsibilities. • The reporting structure and organizational charts outline the accountability and cascading responsibilities for those individuals who report directly to the Provost, including all support staff. • Position descriptions are available for all staff members. • All Office of the Provost staff participate in the annual performance review process which reflects their participation and achievements throughout the year. • Procedures and processes have assigned owners who are responsible for updating the documentation in the employee handbook. 	<p>https://uwaterloo.ca/provost/about/people</p> <p>https://uwaterloo.ca/provost/reporting-structure-organizational-charts</p> <p>Executive Officer Executive Assistant Administrative Assistant Computing/Office Assistant Office Assistant</p> <p>Annual Performance Review</p> <p>https://uwaterloo.ca/human-resources/support-managers/compensation</p> <p>Employee Handbook Procedure</p>

f) Indicators of effectiveness of leadership have been established and measured.

Indicators of effectiveness for both personal and organizational leadership have been established and measured.

Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • Annual performance reviews are conducted at all levels to ensure performance objectives are being met. • Campus consultations are conducted for reappointments of senior administration with verbal feedback being documented for use by the nominating committee. • The Provost conducts one-on-one meetings with his direct reports on a monthly basis to address concerns and upcoming initiatives. • Outside consultants are hired to conduct a review of a unit to determine if effective leadership has been established. The Library, Waterloo International, Institutional Analysis and Planning and Finance are examples of units that have been reviewed in the past. • The Provost develops an annual work plan to support the President’s objectives and strategic plan implementation. The Provost meets with the President twice a year to review progress to his work plan. 	<p>https://uwaterloo.ca/human-resources/support-managers/compensation</p> <p>Feedback - Advancement</p> <p>12.1 – Calendar Management</p> <p>The external review of the library</p> <p>Orchard 2016-2017 - Work Plan</p>

2. Strategy and Planning

<p>a) There is a vision, mission and/or values statement that has had input from key stakeholders. These statements are communicated broadly.</p>	
<p>The Office of the Provost has vision and mission statements, including core values, which are communicated broadly.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> In December 2015, staff participated in the development of our departmental vision and mission statements which incorporate our core values. Our vision statement is included in the Provost’s message on our homepage of the website. The vision and mission statements will be reviewed on a yearly basis to ensure continued relevance and alignment with the University’s vision to be recognized as one of the top innovation universities in the world. 	<p>2.1 – Provost’s Office Vision and Mission Statements</p> <p>https://uwaterloo.ca/provost/</p>

<p>b) A university-wide Strategic Plan has been developed and implemented with input from all stakeholders.</p>	
<p>The Office of the Provost is closely linked to the university-wide strategic plan that has been developed and implemented.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> From the final report of the Mid-Cycle review, eight themes emerged which resulted in the Strategic Plan. The plan was shared broadly with all stakeholders across the university before being submitted to the Board of Governors and approved in July 2013. Theme leads were assigned to direct the progress of each theme along with a small group of University of Waterloo stakeholders. 	<p>https://uwaterloo.ca/strategic-plan/</p> <p>https://uwaterloo.ca/strategic-plan/implementing-our-plan</p>

- c) Flowing out of the Strategic Plan, a balanced set of key priorities and measurable goals has been developed that relate to excellence, innovation and wellness, as reflected in various plans. These are:**
- **Established with input from key stakeholders**
 - **Determined for operating budget development and for inclusion in the university’s operating plans**
 - **Communicated across the university to build awareness.**

The University’s Strategic Plan includes eight themes, all of which have identified priorities and measurable goals. Excellence, innovation, and wellness are integrated throughout the themes.

Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • Once the Strategic Plan was approved in 2013, theme groups held Mini Town Hall meetings for any stakeholder who wished to attend in order to influence the development of the objectives. • Following the Mini Town Hall meetings, the eight theme leads developed priorities for the coming year. • Throughout 2013-14, objectives were developed and benchmark data was gathered to support future measurement of progress. A progress report was presented to the Board of Governors in October 2014. • Beginning in 2014-15, theme groups presented their annual plan to the Provost outlining their priorities and financial resource requirements needed to achieve their objectives. <ul style="list-style-type: none"> ○ The Provost approves priorities on a yearly basis and determines the amount of funding for each priority ○ The Provost allocates funds based on evidence of actual money spent ○ At year end each theme lead is responsible for providing a review and reconciliation on the progress of their yearly priorities • Throughout 2014-15, theme groups worked towards their objectives and provided an update on progress to the Board of Governors in October 2015. 2014-15 was the first year targets were measured and compared to the benchmark data established in 2013-14. 	<p>UW Strategic Plan Implementation Process</p> <p>https://uwaterloo.ca/strategic-plan/town-halls</p> <p>Progress and Outcomes – Fall 2014 Update</p> <p>UW Strategic Plan Faculty Updates – 2014</p> <p>Budget Request for the Robust Employer/Employee Theme</p> <p>Progress and Outcomes – Fall 2015 Update</p> <p>UW Strategic Plan Faculty Updates - 2015</p>

<ul style="list-style-type: none">• Various methods are used to build awareness of the Strategic Plan progress across the university.• Formal annual updates are presented to the Board of Governors at the October meeting.• Strategic Plan Theme Leads and the Provost meet on a monthly basis to discuss progress.• Strategic Plan Theme Leads update the Strategic Plan Steering Committee on progress to date including financial requirements.• Strategic Plan Implementation Group meets to establish timelines for meetings, website updates, documentation preparation and distribution of materials to the various governance committees.• Mini Town Hall meetings are held to update campus on specific initiatives throughout the year.• Annual Town Hall meetings are held in the fall to provide updates to all faculty, staff and students on the Strategic Plan progress.• Board of Governors is updated on Strategic Plan implementation and risk assessment quarterly.• Institutional Analysis and Planning, the Provost and the President meet bi-weekly to review the Strategic Plan implementation progress.• The Strategic Plan is available on a public website for all stakeholders to access and to drill down for more details of the objectives and metrics used.• In 2015-16 staff in the Office of the Provost were provided with a copy of the strategic plan package:<ul style="list-style-type: none">○ Fall 2015 update○ Faculty Update Supplement○ Summary of Progress○ State of the university report	<p>Mini Town Hall Sessions – Strategic Plan</p> <p>President’s Town Hall</p> <p>Strategic Plan - Home</p> <p>https://uwaterloo.ca/strategic-plan/in-action/</p>
---	--

- d) Baseline indicators to measure performance against goals have been established in plans (or sections of plans) and are monitored regularly through methods such as a “Balanced Scorecard” e.g.,**
- **Stakeholder experience**
 - **Governance and financial management**
 - **Corporate Social Responsibility including energy management and environmental sustainability**
 - **Enterprise risk management**
 - **Continuous quality improvement, process and project management, and partner/supplier**
 - **Innovation**
 - **Knowledge Management and Information Technology**
 - **Human Resources, Wellness and Mental Health.**

The Provost’s annual work plan contains baseline indicators. The Office of the Provost supports the work of the Provost and, although this unit is small and operational in nature, staff have identified the need to develop a select number of baseline indicators for the office.

Actions

- Beginning in 2017, the Office of the Provost will create a yearly work plan and determine the various areas where process and project management can be measured and data collected.
- The size of our team enables us to identify problems and make changes quickly to improve our processes and procedures at our weekly team meetings.
- Indicators to help us measure our performance against our goals will be completed by collecting information on processing time, margin of error versus the number of requests we receive by using an in/out tracking method.
- Goals and objectives are set with each staff member during annual performance reviews, which are monitored and discussed at the mid-year review.
- Financial statements are monitored monthly to ensure that our operating budget expenditures are in line with our projections as established prior to the beginning of the fiscal year.

Evidence (Appendices)

[Annual Performance Review](#)

[6.7 – Reconciling Monthly Operating Accounts](#)

<p>f) The university uses a variety of methods to communicate its various policies and plans.</p>	
<p>The University of Waterloo’s official social media platform provides a variety of outlets which allows the university to communicate broadly. The University is technologically advanced to provide all methods of communication for any type of user.</p>	
<p>Actions</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> • The University’s website, including the Daily Bulletin, is accessible to the public and showcases current events and news bulletins. • Policies, procedures and guidelines are available and easily searchable on the University of Waterloo site. • The Strategic Plan is available on the University of Waterloo site and can be easily navigated. • The annual Town Hall meeting is an outlet for the university community to be updated by the President and Provost on current events (example, Strategic Plan, Budget, University Address, etc.) which are live streamed including social media interaction. • The Provost provides a quarterly update to the President which contributes to the President’s report to the Board of Governors. • Staff visit satellite campuses to build relationships, provide support and discuss future plans. • Staff hold weekly meetings to update colleagues on their upcoming activities. • The Provost holds monthly meetings to inform staff of university initiatives. • Staff hold meetings and workshops for deans’ assistants and chair’s assistants to communicate updates to policies that are relevant to the faculties. 	<p>https://uwaterloo.ca/</p> <p>https://uwaterloo.ca/secretariat-general-counsel/policies-procedures-guidelines</p> <p>https://uwaterloo.ca/strategic-plan/</p> <p>https://uwaterloo.ca/marketing-and-strategic-initiatives/digital-initiatives/social-media</p> <p>Quarterly Report to the President</p> <p>Satellite Campuses and Locations</p> <p>Staff Info Group</p> <p>Lunch and Learn</p>

CAE Excellence, Innovation and Wellness
Going for Silver – Academic version – Submission

- | | |
|---|--|
| <ul style="list-style-type: none">• Regular email communication and instant messaging is used between staff members.• R: Provost drive - all staff have access to information• The Office of the Provost maintains an “open-door” policy. | |
|---|--|

3. Service Excellence

<p>a) Linked to the Strategic Plan, planning is in place that defines the service excellence, with a plan of how to deliver and measure the service.</p>	
<p>The reputation of the University of Waterloo is built on providing exceptional customer service to students, faculty, staff and stakeholders.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost provides exceptional customer service based on feedback we receive from our customers. As a team, we will discuss possible methods of measuring customer experience and determine if our office requires a written plan to define service excellence. • Robust Employer/Employee Theme <ul style="list-style-type: none"> ○ Staff attend the annual staff conference ○ Organizational & Human Development provides Core Development Workshops which are now part of Human Resources onboarding process and new employees are highly encouraged to take all four courses within the first 18 months of starting at Waterloo. 65% of the core courses have been completed by Office of the Provost staff ○ Leadership Development Programs: <ul style="list-style-type: none"> - The Leadership Foundations and Leadership Essentials programs have been completed or are in progress by the Executive Officer, Executive Assistant and Administrative Assistant • Sound Value System <ul style="list-style-type: none"> ○ The Office of the Provost is committed to an equitable hiring process by ensuring that all ads for faculty positions contain equity statements as described by UW’s Equity Office and the Government of Ontario. We have a checklist to accompany our process which outlines the statements in detail and the locations where our ads must be posted to reach out and include all minority groups • Lean – Human Resources <ul style="list-style-type: none"> ○ Staff participated in the Lean process for staff hiring • Lunch & Learn Training Sessions 	<p>Core Development Workshops</p> <p>Training records available from the Executive Officer upon request</p> <p>5.2 – Faculty Advertising Checklist for Advertisements – Stage 1</p> <p>Lean – Staff Hiring Process</p>

<ul style="list-style-type: none"> ○ Provide training to staff across campus to ensure that processes are followed ● Deans’ Administrative Group Meetings <ul style="list-style-type: none"> ○ Monthly meetings are held to discuss issues that may arise in the faculties when dealing with faculty hires, leaves, policies and processes 	<p>Deans’ Administrative Group</p>
--	--

<p>b) A service excellence policy exists and has been communicated clearly and consistently to students, employees and other stakeholders, as appropriate.</p>	
<p>A university policy does not currently exist however the Office of the Provost plans to look at developing service standards that would exist department-wide.</p>	
<p>Actions</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> ● Although there is not a university policy in place, the Office of the Provost has a vision and mission statement that has been clearly communicated to all staff outlining service excellence. ● The Office of the Provost has developed an Employee Handbook which will address service excellence in the future. ● As part of the onboarding process, new employees are required to review the Employee Handbook containing the processes and procedures in our office. ● To ensure continued service excellence, procedures will be formally reviewed on an annual basis. 	<p>2.1 – Provost’s Office Vision and Mission Statements</p> <p>Employee Handbook – Table of Contents</p> <p>2.4 – Onboarding New Staff Members</p> <p>New Employee Orientation & Onboarding Checklists</p> <p>Employee Handbook Procedure</p>

c) Employees understand the importance of contributing to positive stakeholder service.	
The staff understand the importance of a positive stakeholder experience as it reflects back on the Office of the Provost.	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • To ensure a positive stakeholder experience we are committed to following our 5 core values as stated in our vision and mission statements. • The Office of the Provost has been re-structured to provide back-up for each position to ensure all documentation will be processed in a timely manner. 	2.1 – Provost’s Office Vision and Mission Statements SRC Org Change Provost’s Office

d) Stakeholder requirements are identified, analyzed and communicated to employees.	
An Employee Handbook has been developed to assist all members of the Office of the Provost.	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • Based on our roles and duties, we communicate our customers’ needs with each other as required. The Employee Handbook has been developed to provide detailed procedures on the various documents that arrive in the office for Provost approval, for example: <ul style="list-style-type: none"> ○ Documents related to faculty ○ Documents related to staff ○ University operating budget 	Employee Handbook – Table of Contents Section 4 and 5

<p>e) Service standards exist at key contact points and are integrated into team or individual performance plans.</p>	
<p>Service standards exist for all staff and are integrated into team and individual performance plans.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost website clearly indicates who to contact for various tasks. Although there are key contact points integrated into individual performance plans, staff are knowledgeable in all areas to assist our stakeholders. Our office is the 411 for the campus community. • Being a service unit to the campus, this office has an open door policy. Staff provide the same level of service to our customers whether it be in person, by phone or email. A process will be developed to formally document our internal service standards such as: <ul style="list-style-type: none"> ○ Answering calls on a first ring if possible; letting no call go to voice mail ○ Responding to requests as quickly as possible ○ Quick turnaround process relevant to the various documents received in the office 	<p>https://uwaterloo.ca/provost/about/people</p>

<p>f) Mechanisms are in place for stakeholders to:</p> <ul style="list-style-type: none"> • Provide input on their requirements • Seek assistance, and • Give feedback on measures that are relevant to them. 	
<p>The office has an open door policy and our stakeholders have ample opportunity to contact any member of our office in person, by phone or email.</p>	
Actions	Evidence (Appendices)
<ul style="list-style-type: none"> • We have regularly scheduled meetings for each of the Provost’s direct reports to discuss the needs of their individual units. • There are regularly scheduled group meetings throughout the year where specific groups get together to discuss global issues. 	

<ul style="list-style-type: none"> • Outside of the regularly scheduled meetings, unexpected issues could arise which we accommodate whenever possible. • Staff in the office hold meetings with the deans' assistants to address their concerns related to faculty issues. • All staff in the office provide ongoing assistance to our stakeholders on an as needed basis. • Our office organizes and facilitates training and information sessions to others on campus related to university priorities. Feedback on these sessions is currently requested through the use of Survey Monkey. This feedback provides us with valuable information on how we can improve our processes. • Our office strives for continuous improvement and accepts feedback from anyone who wishes to provide it. 	<p>Lunch and Learn Survey Monkey</p>
---	--

<p>g) Baseline feedback measures have been identified. Results have been collected, and used to inform planning and innovation.</p>	
<p>The Office of the Provost is in the process of establishing key measures to plan and innovate our processes.</p>	
<p>Actions</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> • We are in the process of identifying and implementing baseline feedback measures that will help us to continuously improve our customer service experience. One example is our customer satisfaction survey that is distributed following each Lunch and Learn session. • The Provost has responsibility for the day-to-day activities of the university resulting in having final approval on all academic and administrative matters. We will measure turnaround time and determine how we can improve our processes and our customer service using various methods such as Lean. Our team will use the data collected to inform planning and innovation. • 	<p>Employee Handbook – Table of Contents</p>

4. People Engagement

<p>a) A strategic Human Resources Plan and a Wellness Plan, which includes mental health, are in place and clearly link to the overall Strategic Plan and related operational plans.</p>	
<p>The University offers various programs which address mental health and clearly link to the overall Strategic Plan. Staff are encouraged to participate in these activities.</p>	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> One of the University’s strategic themes addresses human resources and wellness. Human Resources, Counselling and Health Services all have wellness programs available to staff <ul style="list-style-type: none"> - 24/7 Employee and Family Assistance Program - Psychological Health Workshop - Counselling The Office of the Provost participates in the Mental Health Wellness Day held in the fall each year. Staff participate in the yearly OHD Staff Conference, which offers health and wellness sessions. The Office of the Provost has three sit-stand desks. Staff are aware of ergonomic practices and can contact the Safety Office for information. 	<p>https://uwaterloo.ca/associate-provost-students/mental-health-wellness-day</p> <p>https://uwaterloo.ca/staff-conference/2016-keynote-speakers</p>

<p>b) The leaders actively promote a culture of work/life balance.</p>	
<p>The Office of the Provost has taken steps to promote and encourage work/life balance by providing staff with the opportunity for flex time.</p>	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> The University offers flex-time to promote work-life balance. 	<p>Flextime Endorsement</p> <p>Flextime Guidelines</p>

<ul style="list-style-type: none"> • The Office of the Provost has developed guidelines to accommodate individual work hours. • Staff are encouraged to only work 35 hours per week and are not expected to work over-time. • The office allows for walking breaks throughout the day. • Periodic staff appreciation lunches are provided. 	<p>2.5 - Hours of Operation</p>
--	---

c) Human resources policies have been developed and are available to all employees for easy access. Human resources policies should address relevant human rights legislation and issues to protect against harassment and discrimination in the workplace, as well as inclusion and diversity.

Human resources policies have been developed and are easily accessible to all staff.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • Human resources policies exist and are accessible on-line. • Human Resources portal provides access for staff to allow them to review their payroll, pension and benefits information and enroll in training through the Human Resources Management System (myHRinfo). • Office of Conflict Management and Human Rights is available and acts as a focal point for staff to resource anonymously regarding matters of harassment, discrimination, and other general forms of conflict. • The Safety Office has links to the mandatory training sessions for all employees of the University of Waterloo: <ul style="list-style-type: none"> ○ Employee Safety Orientation ○ Workplace Violence Awareness ○ WHMIS • Equity Office promotes diversity in our faculty and staff hiring. • Staff are encouraged to take the core development workshops: <ul style="list-style-type: none"> ○ Principles of Leadership ○ Principles of Inclusivity ○ Integrity Matters, and ○ Exceptional Service 	<p>https://uwaterloo.ca/human-resources/</p>

d) There is a system in place for recruitment, selection, and on-boarding of employees.

The Office of the Provost utilizes the iCIMS system for the recruitment of new employees to the office. A departmental onboarding process and checklist has been developed.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost complies with the Human Resources recruitment process. • Staff can view open positions weekly on-line and can apply through Human Resources with selections being done mutually through Human Resources and the hiring department. • Onboarding for new members of the University is handled through Human Resources and the hiring department. • Onboarding for Senior Administration reporting to the Provost is handled by the Office of the Provost. • Our office has an onboarding process that includes an orientation checklist for new employees. 	<p>Policy 18</p> <p>https://uwaterloo.ca/careers/</p> <p>2.4 – Onboarding New Staff Members</p> <p>New Employee Orientation & Onboarding Checklists</p>

e) There is a system in place for the management of employee performance and retention, based on shared knowledge of roles and responsibilities as outlined in current position descriptions.

The Office of the Provost follows the annual performance review process as set out by Human Resources.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • All staff have a current position description. • The Office of the Provost has annual and semi-annual evaluation reviews to discuss job performance, training 	<p>Executive Officer, Academic Executive Assistant</p> <p>Administrative Assistant</p> <p>Computing/Office Assistant</p> <p>Office Assistant</p> <p>Annual Performance Review</p>

<p>opportunities, goals and objectives, health, wellness and safety.</p> <ul style="list-style-type: none"> In August 2015 a review of all positions and responsibilities was conducted resulting in a reorganization of our unit. Continuous cross training provides for the office to be covered during peak workload periods, vacation times and leave of absences. Our office is currently fully staffed and advancement opportunities are limited at this time. 	<p>SRC Org Change Provost's Office</p>
--	--

f) Training and development requirements are determined with employee input, and employees are assisted in acquiring and implementing new skills. Improving leadership, management, and supervisory interpersonal skills and abilities is a high priority.

The Office of the Provost promotes training and development for all staff.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> Opportunities for skills improvement exist for all employees. There are various departments on campus that offer courses to acquire new skills. Some of these opportunities are identified in the annual and semi-annual reviews. <ul style="list-style-type: none"> The Executive Assistant and Administrative Assistant are currently enrolled in the Leadership Essentials Program The Executive Officer has completed the Leadership Foundations Program Several employees have taken courses to upgrade their skills to assist in their position Microsoft courses such as Word, Excel, PowerPoint, Access, SharePoint, Outlook are available through professional development Unit4 and Concur training are available Policy 18 provides staff members up to five days of training and professional development annually The University waives tuition fees for employees who wish to further their education The Office of the Provost is supportive of secondment opportunities. 	<p>https://uwaterloo.ca/secretariat-general-counsel/policies-procedures-guidelines/policy-18-staff-employment#Training%20and%20Development</p> <p>Training records are available upon request from the Executive Officer</p>

<p>g) Human Resources, Wellness and Voice of the Employee indicators are developed, measured and communicated.</p>	
<p>The Office of the Provost has an open-door policy which provides all employees the opportunity to share concerns on areas that impact them directly.</p>	
<p>Action</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> ● Human Resources <ul style="list-style-type: none"> ○ The Office of the Provost collects data on absenteeism, vacation, training and development, workplace accidents and injuries <ul style="list-style-type: none"> - Training and development records allow us to identify gaps and to plan for enrollment in courses for future development - Absenteeism and vacation records allow for days to be tracked - Records related to workplace accidents and injuries are kept on file for reference ● Wellness <ul style="list-style-type: none"> ○ Employee health and wellness is important to staff. Issues are identified through the performance review process and measures are taken to improve working conditions such as hardware, software, ergonomic workspaces etc. ○ Sit/Stand desks ○ Dual monitors ○ Chairs ○ Health and Safety audits are done on a monthly basis to ensure a safe working environment ● Voice of the Employee <ul style="list-style-type: none"> ○ Employees work together on a collegial level which in turn alleviates stress and evens out workloads ○ Co-worker cohesion results in low staff turnover ○ Low absenteeism rate ○ Team Building – Adventure Room, Miniature Golf ○ Staff Retreats ○ Visits to other units on and off campus 	<p>Information available from the Executive Officer upon request</p> <p>Policy 34</p> <p>3.6 – Health and Safety Audits</p> <p>Departmental Inspection Checklist</p>

h) Management provides various avenues for employees to provide feedback, and to put forward innovative ideas and suggestions for improvement.

The Office of the Provost has weekly scheduled meetings for staff to provide feedback and put forward innovative ideas and suggestions for improvements.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • Weekly and monthly meetings are used to discuss projects, upcoming appointments and current events. • Staff support each other to discuss solutions to issues as they arise. • Brainstorming sessions amongst staff are done regularly to provide suggestions for improvement on our processes. Our processes and procedures will be reviewed on a yearly basis (July/August) moving forward. • Staff attend professional development programs and provide an overview to team members. The team is given the opportunity to ask questions and provide their feedback. • Our Lunch and Learn training sessions are reviewed and rehearsed prior to the date to ensure accuracy and also to allow staff to provide input. • Performance reviews provide staff the opportunity to give feedback on training, goals and objectives for the upcoming year. 	<p>Employee Handbook Procedure</p> <p>Lunch and Learn</p> <p>Annual Performance Review</p>

5. Process and Project Management

<p>a) Key processes and projects have been identified.</p>	
<p>Staff identify areas for continuous improvement of processes and procedures which leads to team projects.</p>	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> ● Recent Projects Completed <ul style="list-style-type: none"> ○ Lean improvement process for staff hiring (March – September 2016) ○ Electronic faculty files project (June 2013 to December 2014) ○ Checklists for faculty hiring process (July 2016) ● Projects in Progress/Ongoing <ul style="list-style-type: none"> ○ Employee Handbook ○ Processes and Procedures ○ Excellence Canada Certification <p>Working through the Excellence Canada process we have identified the following list of projects that would be beneficial to our area.</p> <ul style="list-style-type: none"> ● Future Projects Identified <ul style="list-style-type: none"> ○ Develop a departmental work plan outlining our yearly projects for continuous improvement ○ Faculty database project to reorganize reports and queries ○ Develop a Strategic Plan for our office, which aligns with the University’s plan ○ Develop and adopt service excellence standards, e.g. prevent calls from going to voicemail, responding to emails within two business days if possible, etc. 	<p>5.11 – Electronic Filing</p> <p>UW Faculty File Naming List</p> <p>Checklist for Faculty Hiring – Stage 1</p> <p>Checklist for Faculty Hiring – Stage 2</p> <p>Checklist for Faculty Hiring – Stage 3</p> <p>Checklist for Faculty Hiring – Stage 4</p> <p>Employee Handbook – Table of Contents</p>

b) A standardized method is in place for project management.	
Although a documented process is not currently in place, the office follows a logical sequence of tasks to bring our projects to completion.	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> • Most projects that are planned are for continuous improvement within the Office of the Provost and are relevant to our processes. Participation on projects outside of the office is by invitation. • Our current method for project management is: <ul style="list-style-type: none"> ○ Identify the project and its purpose ○ Determine the scope of the project ○ Timeframe for the project (start and end dates) ○ Breakdown the project into manageable tasks ○ Prioritize tasks ○ Set realistic timelines to keep the team focused on the end goal ○ Assign tasks to team members for team involvement ○ Set meetings to measure our progress and adjust timelines as needed ○ See the project to completion • As a high level action plan we will develop written procedures and templates to standardize our method for project management as outlined above. 	

c) Key work processes and/or procedures, including process ownership, are documented using a consistent methodology across the university, and are easily accessible by all employees.	
We have identified tasks for each member of our team and developed processes and procedures as required. An employee handbook has been created.	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> • The Employee Handbook has been developed with standard processes and procedures using a common methodology. 	Employee Handbook – Table of Contents

<ul style="list-style-type: none"> • Templates are used for consistency. • All procedures were written by the task owner and reviewed by the team for accuracy. • Changes, additions, deletions and revisions to processes will follow the documented approval process. • A master list of procedures and reference documents is carefully maintained using a numerical system. Revision dates are included to ensure the most current documents are referenced. • The Employee Handbook is available on the shared R:drive for all staff to access. • Where applicable, reference documents are linked within the procedures for easy access. • University policies are linked to the procedures ensuring the most up-to-date information is available. 	<p>SOP Template</p> <p>Employee Handbook Procedure</p> <p>Employee Handbook – Table of Contents</p>
---	---

d) Training for process and project management and related tools is planned and/or underway for involved employees.

Project Management courses are available through the Centre for Extended Learning. Staff are encouraged to enroll in courses that relate to their positions. As we identify more projects and processes, staff will have the opportunity to take training.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost is focused on projects that impact our office internally. Requests are made throughout the year to participate in projects outside the office, for example: <ul style="list-style-type: none"> ○ Staff in the office were partnered with Human Resources to improve the staff hiring process using the Lean methodology. ○ Resource Allocation Model ○ Strategic Plan ○ Board of Governors Handbook ○ Hiring Panels 	<p>Lean – Staff Hiring Process</p>

<ul style="list-style-type: none"> • Staff in the Office of the Provost have various levels of process and project management training from previous employment. • Resources to assist with process and project management are available to us on campus and are utilized when necessary. 	
---	--

<p>e) Key measures have been identified and data is actively being collected and used to measure and monitor key process stability.</p>	
<p>The Office of the Provost actively collects data to monitor our processes related to faculty and staff hiring.</p>	
<p>Action</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> • The office of the Provost uses an Access Database to collect data on faculty hiring <ul style="list-style-type: none"> ○ Number of hires by faculty ○ Gender ○ New vs. Replacement ○ Start-up funding ○ Salary ○ Canadian vs. International ○ Pending/Accepted offers ○ Summary of recruiting efforts ○ PhD status • We monitor our process stability by using a double approval system to ensure accuracy. • Processes are reviewed at our monthly Deans' Administrative Group meetings to ensure process stability and continuity across the faculties. • Feedback is requested for all Lunch and Learn training sessions to allow us to monitor the stability of our processes to determine if <ul style="list-style-type: none"> ○ Attendees understand the material ○ Are the handouts helpful ○ Does the process flow properly and do you understand the information 	<p>Faculty Hiring Information Database – Data Entry Form</p> <p>Checklist for Advertising Checklist for Faculty Hiring Checklist for Acceptance Stage</p> <p>Deans' Admin Meetings</p> <p>Lunch and Learn Feedback Survey</p>

<ul style="list-style-type: none"> ○ Would attendees recommend these training sessions to others 	
---	--

f) Key internal stakeholders across all levels are involved in process improvement activities with demonstrated input from employees directly impacted by any changes.

Our team meets weekly to review and discuss changes that impact employees directly. Staff are involved in making key decisions regarding process improvements.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> ● Processes are reviewed at our monthly Deans' Administrative Group meetings giving all members the opportunity to provide input on best practices and ensure consistency across faculties. ● The Office of the Provost facilitates eight staff Lunch and Learn training sessions on processes that are relevant to our positions. These sessions give staff an opportunity to learn, review and/or update and contribute to continuous improvement. ● All staff were involved in the development of our processes and procedures within our Employee Handbook. The owner of procedures in the various sections of the handbook is directly involved in any changes made. ● Being a small unit staff members are directly involved with all projects and processes within the department as changes can have the potential to impact any team member. 	<p>Deans' Admin Meetings</p> <p>Lunch and Learn</p> <p>Employee Handbook Procedure</p>

g) Key processes are assessed for their impact on the physical safety and mental health of all stakeholders, e.g., students, employees, partners, suppliers and other stakeholders.

The Office of the Provost has processes in place that address health and safety in the workplace.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> • All procedures and processes that are in place in the Office of the Provost for the tasks that we complete are fully documented, understood and reviewed regularly. This provides us with step by step instructions for our processes. Staff are able to complete their tasks while keeping their work day manageable. • Staff meet on a yearly basis to review the Health, Safety and Environment policy and management system, building evacuation procedures, training requirements and departmental inspections. • Panic button testing is done on a monthly basis to ensure that our processes are followed by all staff members and that equipment is in good working condition. • An Emergency System is in place to ensure the safety of staff in the President, Provost and Secretariat offices. The system is tested twice a year to ensure that all staff involved are aware of the procedures. • Health and Safety audits are completed on a monthly basis to ensure that we are compliant with the Occupational Health and Safety Act. • Staff in the Office of the Provost are responsible for reviewing all Health & Safety/Emergency procedures that have been put in place for their safety. Our department safety representative provides updates at our weekly staff meetings • Staff participate in the Mental Health Wellness Day, which is held in the fall. 	<p>Employee Handbook – Table of Contents</p> <p>3.5 - Panic Buttons</p> <p>3.4 - Emergency Situation</p> <p>Buddy System Contact List</p> <p>Departmental Audit</p> <p>Employee Handbook – Table of contents - Section 3</p> <p>https://uwaterloo.ca/associate-provost-students/mental-health-wellness-day</p>

6. Partners and Suppliers

<p>a) Key partner and supplier groups have been identified e.g.,</p> <ul style="list-style-type: none"> • Financial partners (e.g., government, research agencies, donors, etc.) • Non-financial partners (e.g., volunteers, agencies, charities etc.) • Suppliers 	
<p>The Office of the Provost is accountable and responsible for the day-to-day operational and budgetary authority of the University. The office has many internal and external partners both financial and non-financial.</p>	
Action	Evidence (Appendices)
<p>The Office of the Provost maintains a list of our partners and suppliers that staff access on a regular basis. Procedures and processes relating to partners and suppliers are documented and/or linked within the Employee Handbook.</p> <p>External Partners</p> <p>Financial</p> <ul style="list-style-type: none"> • The Municipal Government provides the University with a grant in lieu of taxes. • The Provincial Government provides the University with an operating grant for: student scholarships; library acquisitions; faculty, staff and student salary and wages; equipment maintenance and rentals; supplies; etc. • The Federal Government provides research monies through various funding programs such as the Natural Sciences and Engineering Research Council, Social Sciences and Humanities Research Council, and the Canada Research Chairs (NSERC, SSHRC, CRC etc.). • Donors provide restricted and unrestricted donations. Restricted donations are for specific initiatives as directed by the donor; unrestricted donations are up to the discretion of the institution. The Office of the Provost is responsible for the TD/Canada Trust fund. This fund is for the annual Walter Bean Lecture Series organized by the faculties of Engineering, Environment and Science. <p>Non-Financial</p> <ul style="list-style-type: none"> • U15 Academic Affairs Committee shares knowledge, advances collaborative initiatives and discusses ways to 	<p>12.6 – Partners & Suppliers</p> <p>16/17 operating budget</p>

maximize the full benefits of cooperation among the member institutions. The committee functions as a sub-committee of the U15 Executive Heads. The committee also provides advice, research and guidance to the executive heads or other U15 committees. The U15 meets twice yearly.

- [Ontario Council of Academic Vice-Presidents](#) (OCAV) provides leadership on matters related to educational excellence, the advancement of academic quality, and major policy issues affecting the academic operations of universities. The committee meets 4 times yearly. The Provost is also a member of OCAV sub committees:
 - Funding Review Committee
 - Data Steering Committee (Chair)
- [Quality Network for Universities](#) (QNU) is a network for university leaders to learn from research and best practices across sectors.
- [Education Advisory Board](#) (EAB) is an organization aimed at educational leaders that provides technology and service solutions informed by research and practice.
- [United Way](#)
The Office of the Provost campaigns each year to raise funds in support of the United Way.

Suppliers

- Spicers is the supplier of paper products for the department.
- Staples Office Supplies is our main supplier for all office supplies used in the Office of the Provost.
- Baker's Office Furniture is our supplier for all furniture purchased for the office.
- Frederick Travel is our preferred travel supplier.
- Enterprise Car Rental is our preferred car rental supplier.
- McWilliams Moving is our preferred moving company.
- Van Houtte Coffee and Glenbriar Bottled Water provides all water and coffee supplies for the Offices of the President, Provost and Secretariat.

Internal Partners

- The Office of the Provost works closely with faculty deans' offices to hire faculty and staff and process various other appointments and leaves.
- The Office of the Provost provides directional and financial support to most academic support units on campus.
- The [Faculty Association of the University of Waterloo](#) (FAUW), located on campus, acts on behalf of faculty. Along with the President of the Faculty Association the Provost co-chairs the Faculty Relations Committee which meets formally every few weeks to discuss issues pertaining to the faculty on campus. These meetings are documented. As part of our involvement with FAUW, the Memorandum of Agreement for faculty is reviewed annually.
- The [University of Waterloo Staff Association](#) acts on behalf of staff and is located on campus. The President of the Staff Association and the Provost are members of the Staff Relations Committee which meets formally every few weeks to discuss issues pertaining to the staff on campus. These meetings are held monthly and are documented. Each unit on campus has a staff representative.
- [Federation of Students](#) (Feds) and [Graduate Student Association](#) (GSA) represent all undergraduate and graduate students respectively. The Provost meets with each group on a monthly basis to discuss topics of interest related to undergraduate and graduate students. There are monthly meetings with the Feds and GSA whereby issues can be brought up and resolved concerning the overall student experience, and where common priorities are selected to work on mutually.
- [Finance](#) provides financial information to the Office of the Provost for yearly operating budget planning.
- [Institutional Analysis and Planning](#) provides information to the Office of the Provost related to new programs and operating budgets.

[Employee Handbook – Table of contents - sections 4 and 5](#)

b) A policy (or policies) is in place that includes different forms of partner and supplier relationships.	
The University of Waterloo has policies, procedures and guidelines in place that are easily accessible electronically. Our unit has developed an internal set of guidelines that relate to individual positions.	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> • The Office of the Provost adheres to university policies, procedures and guidelines when dealing with our partners and suppliers. • The Office of the Provost has developed internal standard procedures to meet the needs of our partners and suppliers. For example: <ul style="list-style-type: none"> ○ Purchasing Card ○ Catering ○ Supplies ○ Keys & Fobs ○ Visitor Parking 	<p>Policies, Procedures & Guidelines</p> <p>6.2 – University P-Card</p> <p>12.4 - Catering</p> <p>8.1 – Staples Office Supplies</p> <p>3.2 – Keys and FOBS</p> <p>12.2 – Visitor Parking</p>

c) Appropriate information and criteria is used to select capable financial and non-financial partners and suppliers.	
The Office of the Provost is not directly involved in the selection process however we do follow the University's policies and guidelines and provide feedback when necessary.	
Action	Evidence (Appendices)
<ul style="list-style-type: none"> • The University has a detailed procedure in place for selecting suppliers and contractors. • Also see the Policies and Guidelines for Procurement and Contract Services • The Office of the Provost uses preferred suppliers when we are required to purchase or use services. For example: <ul style="list-style-type: none"> ○ Enterprise Car Rental ○ Via Rail 	<p>Policy 17 – Quotations and Tenders</p> <p>https://uwaterloo.ca/procurement/policies-and-guidelines</p> <p>12.6 – Partner and Supplier Contact List</p>

<ul style="list-style-type: none"> ○ Local Accommodations ○ Moving ○ Frederick Travel 	
--	--

d) The university establishes and maintains co-operative working relationships with key partners and suppliers, and responds to feedback effectively.

The Office of the Provost has an open line of communication with our partners and suppliers and has mutual respect to solve any issues that may arise.

Action	Evidence (Appendices)
<ul style="list-style-type: none"> ● Guidelines are followed as set out by the Ministry of Training Colleges and Universities with respect to government grants. ● Invoices are reviewed and approved on a weekly basis and sent to Finance for payment. ● We have regularly scheduled meetings with our internal partners to address and gather feedback for continuous improvement of our processes. ● We offer Lunch and Learn training sessions to our partners to ensure processes flow logically and are consistently executed across campus. ● The Provost meets with our external partners on a regular basis to discuss strategies and initiatives with other Ontario and Canadian institutions. 	<p>Notes on Budget</p> <p>Committees and Councils</p> <p>Deans' Admin Group</p>

<p>e) Prior to procurement and whenever possible, employees are involved in assessing the impacts of products or services that impact on their health, safety and/or productivity.</p>	
<p>Employees in the Office of the Provost are given the opportunity to try and test products prior to purchasing.</p>	
<p>Action</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> • Staff had the opportunity to test sit/stand desks prior to purchasing. • The Safety Office provides ergonomic assessments to assist staff with proper set up of chairs, keyboards and monitors • Staff were involved in the purchasing of their desktop printers • Staff are involved in the purchasing of supplies that impact their productivity (label maker, address stamps, white boards, etc.). • Departmental safety audits are performed monthly to indicate safety concerns. Monthly inspection records are kept on file. 	<p>This will be evident during our site visit when we tour the office space</p> <p>3.6 – Health and Safety Audits Departmental Audits</p>

<p>f) Baseline partner and supplier performance measures are identified and collected.</p>	
<p>The Office of the Provost encourages feedback from our Partners and Suppliers which provides us with an opportunity for continuous improvement.</p>	
<p>Action</p>	<p>Evidence (Appendices)</p>
<ul style="list-style-type: none"> • The Office of the Provost has identified the need to collect and measure information related to the processing time of documents. We are looking at implementing a system for tracking the turnaround time of all documentation received in the Office of the Provost and determine where the delays occur and how to avoid these issues moving forward. 	<p>Employee Handbook – Table of Contents – section 5</p>

<ul style="list-style-type: none">• Checklists have been developed which will enable us to track timeliness and accuracy when processing our documents. • Staff have regular weekly meetings to discuss operational procedures and ideas for continuous improvement. • Partners attending Lunch and Learn training sessions are given the opportunity to provide feedback on our presentations by completing a survey which is sent out immediately following the session. • A SharePoint site has been developed for the Deans' Administrative Group to reference documents and receive updates to our processes. • Staff complete and return on-line feedback based on the service provided by Catering and IST. • Staff who attend professional development courses are asked to complete a satisfaction survey.	<p>Checklist for Advertisements</p> <p>Checklist for Faculty Hiring at Offer Stage – Stage 2</p> <p>Checklist for Faculty Hiring at Mailing Stage – Stage 3</p> <p>Checklist at acceptance Stage – Stage 4</p> <p>Lunch and Learn Survey Monkey</p> <p>Feedback Form from IST</p> <p>Feedback Form from Catering</p>
--	--

CONCLUSION

Our approach to the Excellence Canada silver certification process was a team building exercise which allowed us to explore individually and as a unit. The Excellence Canada program presented an opportunity to identify our team's strengths and areas for improvement. Every member of our team possesses individual skills which helped in providing input and added value to the completion of the Excellence Canada submission.

We developed a better understanding of how the university is governed and the operating principles that our leadership supports. We were able to establish a set of core values that led to the development of our mission and vision statements which define us as a unit. As a result of the Excellence Canada exercise, our office has developed an Employee Handbook which documents our processes and procedures. Individuals responsible for each process had the opportunity to fine-tune and standardize procedures that are invaluable when cross training staff members. We recognize the accountability and measurements we need to provide for each step of our duties and are able to measure our work on a per job or daily basis which adds to *personal satisfaction in our jobs*. Going through the process we recognized how our roles relate to other team members roles and how we interact with our stakeholders, both internal and external to the university. Our unit is a service oriented area and we strive for excellence on an ongoing basis.

Our team is committed to setting and achieving goals that align with the Strategic Plan, focusing on Excellence, Innovation and Wellness under the Robust Employer-Employee theme. Even though we are a small unit, we are an integral part of the university and by working together and doing the best job we can, we will set and achieve our goals and support the University's main goal to be recognized as one of the top innovation universities in the world.