

Oversight Year Start Report

May 4, 2015

Viet Vu
Chair, Oversight Committee

AMS

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Introduction & Purpose

This Year Start Report aims to provide Oversight operations plans for the 2015-2016 year, especially focusing on relevant operations occurring during the Summer of 2015. This document will be written in accordance of AMS Constitution, Bylaw and Code. If there are any discrepancy between this document and any of the aforementioned documents, the aforementioned documents prevail.

Any question regarding this report should be directed to oversight@ams.ubc.ca

Committee Membership & Interview Team Composition

Committee membership (valid for Summer 2015, updated in September 2015.)

- **Viet Vu:** Chair of Oversight, AMS Councilor from Economics.
- **Ian Sapollnik:** Vice Chair of Oversight, AMS Councilor from Arts.
- **Benj Israel:** Chair of Legislative Procedures Committee, AMS Councilor from Law.
- **Alan Ehrenholz:** Chair of Student Life and Communications Committee, AMS Councilor from Engineering.
- **Samantha So:** Chair of Education Committee, AMS Councilor from Science.
- **Robin Asgari:** Chair of University and External Relations Committee, AMS Councilor from Arts.

Interview teams (valid for Summer 2015, updating in September 2015.)

Office	Executive	Team
President	Aaron Bailey	Viet Vu & Ian Sapollnik
Vice President, Academics and University Affairs	Jenna Omassi	Viet Vu & Alan Ehrenholz
Vice President, Finance	Mateusz Miadlikowski	Viet Vu & Samantha So
Vice President, External	Jude Crasta	Viet Vu & Robin Asgari
Vice President, Administration	Ava Nasiri	Viet Vu & Benjamin Israel

Committee Duties

Performance review

This portion of the Oversight duties will be elaborated upon in the next section.

Performance Complaints

Oversight Committee deals with Performance Complaints against the executives of the AMS. Complaints can be submitted by any AMS members or Councilors of the AMS. Complaints and comments can be submitted through sending an email to oversight@ams.ubc.ca. Identity of individuals submitting the complaint shall be kept anonymous and confidential unless otherwise indicated by the individual submitting the complaint and/or comments.

If the submission is a comment on an executive's performance, it will be treated as a learning opportunity with that executive with a meeting taking place between an assigned member by Resolution of Oversight and the executive in question. Comments on an executive's performance shall not be treated as a formal complaint for Oversight purposes. Oversight shall only investigate and respond to Executive Complaints that affect their PAI allocation as stated in Code Section VI, Article 1.8(c) and Section VI, Article 1.8(l) and Code Section V, Article 15.3 (v)

Once a submission is determined to be a complaint, an initial assessment of the nature of complaints will be conducted. The major group of complaints will be between **personal harassments**, **breach of duties**, and **breach of values**. Personal harassments include all complaints regarding actions by the executives that directly compromise an individual's physical and emotional wellbeing. These types of complaints shall be referred to the Ombudsperson once consent is received from the submitter. Breach of duties include all complaints regarding executive actions that grossly fails to meet that executive's duties. Breach of values include all complaints regarding executive conducts that grossly violates the society's values.

Once a complaint is submitted, an investigation team will be formed, consisting of the Oversight chair and one other Oversight committee member, following the procedure below:

1. Submission of case relevant documents: first, the individual submitting the complaint will be asked to submit their case for the complaint along with any relevant documents that may help with their case. All of this information will be kept confidential. The investigation team will look over the submission and determine whether further action is necessary, especially if there is proper justification for submitting this complaint.
2. Interview with the complainant: Once the Interview team has determined that the complaint is valid and has a clear basis, an interview will be set up with the complainant to further determine facts and document the complaint.
3. Interview with other relevant parties: After the interview, other relevant parties will be identified and interviewed by the Investigation team.
4. Collection and processing of evidence: After interviews are conducted, relevant evidence (meeting minutes, email correspondence...) shall be collected and processed with parts relevant to the complaints highlighted.
5. Interview with the Subject of Complaint (SOC.) In cases where performance complaints are submitted against (a) specific Executive(s), interview(s) shall be conducted with the Executive(s) in question. At this meeting, the SOC will be presented with all evidence collected with any personally identifiable information redacted and have a chance to present their case as well as any relevant documentations/evidence. In cases where the SOC is the entire Executive Committee, the Executive Director shall also be interviewed to provide further context and clarification.

6. Submission of investigation results and recommendation of further action to Council. After all relevant parties have been interviewed and the documents processed, a report will be written and submitted to Council detailing the investigation process, evidence collected, whether there were any wrongdoings and most importantly, recommendations of further actions to Council.

The recommendations submitted to council will first and foremost detail actions that the Investigation team believe should be taken regarding this current incident, especially whether or not wrongdoings were present (whether the executive in question should be reprimanded or in cases of breach of value, their PAI reduced.) In addition, a set of recommendations will be made to improve processes within the society and how to improve its operations in the future. Council can choose to adopt these recommendations in part or in full.

Authorization of gift receipts

Pursuant to code section II, Article 1(13), Oversight Committee has the power to authorize receipt of gifts by the Executives.

Ombudsperson

Oversight is also in charge of overseeing the performance of the Ombudsperson. Complaints against the Ombudsperson will be handled with the same procedures as Executive Performance Complaints. However, the investigation team, depending on the nature of the complaints and the type of evidence collected, may recommend Council to move in-camera for these discussions. In addition, a report of the complaint shall only come to Council if deemed necessary by resolution of the Oversight Committee.

In addition, the Ombudsperson will be invited to Oversight meetings in July, October and February to provide updates on their performance. At this meeting, feedback on their performance will be given to the Ombudsperson on how to improve their performance. A guideline on what this process will look like will be developed in late June.

Financial Investigation

In addition, once directed by Council, Oversight Committee shall look into the finances of the Society to inspect a specific component of the Society's financial activities. We interpret this part of code as not to be limited only for finances pertaining to the Executives of the Society.

Executive Compensation Reviews

Finally, Oversight Committee can conduct a review of executive compensations and submit a report to Council on recommendations on changes to executive compensations to Council. This review can cover both their base salary and PAI.

Evaluation of PAI Process

This year, Oversight Committee will also produce a report regarding the new PAI Process, aiming to measure how well it worked and places where it can be improved. A report will be submitted to Council in late March or April with a set of recommendations to follow.

Performance Review/Performance Accountability Incentives (PAI)

Goal Setting

A new set of criteria will be developed by Oversight Committee that evaluates how well the executives participated in the goal setting exercise. Each executive will be asked to come up with at least **1 purpose statement** and at least **2 short-term goals**. Executives are asked to submit no more than **2 purpose statements** and **3 short-term goals**.

Purpose statement will be defined as a direction the executive wants their office to be going that takes longer than one executive term to achieve. However, executives should be able to make a substantial contribution in working towards achieving the purpose statement in one executive term. It should be concerned with the overall strategy of their office. An example of a Purpose Statement for the Vice President Academics & University Affairs Office would be “To build capacity for effective student consultation.” Within the purpose statement, the following would be required:

- A description of what their office will look like once the purpose statement is realized. For example, with the above Purpose Statement, the Vice President Academics & University Affairs Office’s description would include an extensive engagement strategy to students as well as a fully developed strategic partnership with the university.
- A series of sub-goals that the executives can achieve in one executive term that will work towards realizing the purpose statement. For the above example, it would include sub-goals such as “conducting a research project on student engagement strategies.”

Short term goals will be defined as goals that can be reasonably achieved within one executive term. These goals are usually less substantive than strategic goals and are likely to concern the day-to-day operations of the executive’s office. An example for the Vice President External’s office would be to improve upon the success of SUDS. Short term goals should not be related to the purpose statement although if proper justification is made, this could be allowed by the Oversight Committee. Within the short term goals, executives should have:

- A series of sub-goals to achieve the goals. E.g. review the Job Description of the SUDS coordinator, explore financing increase for SUDS.
- Concrete steps to complete the sub-goals.

It is important to note that if an executive feels that this format does not work well for their office and that there are justification for changing the goal framework, Oversight will take this into account and discuss with specific executives on how to make the goal framework works for them.

Short term goals should be created using the SMART framework; long term goals should be created by assessing the high-level needs of the executive’s office.

Goal Purposes

This year, achievements of goals are **no longer tied** to the PAI allocations. Therefore, achievement of goals are solely meant to be an accountability device for the executives. To ensure proper accountability, goals, as well as it progresses shall be publicly posted and members notified of its existence when and where possible.

Reporting to Council

Oversight will produce a report and submit that report in the form of a presentation to Council periodically to update Council on how the executives are progressing on their goals. Dates for these reports will be outlined in the timeline section.

PAI Criteria for Goal

Following criteria will be used to evaluate the Executive’s participation in the goal setting exercise:

Criteria	Minimal Participation	Moderate Participation	High Participation
Goal Setting	<ul style="list-style-type: none"> Goals are not submitted to Oversight Goals are sent to Oversight after the deadline Goals neither have the reasonable number of steps to achieve the goals or metrics to be used to measure achievement of goal. 	<ul style="list-style-type: none"> Not enough goals are submitted or goal format is different from the suggested format without discussion with Oversight prior to goal submission Goals are sent to Oversight at or before deadline Goals have either reasonable number of steps to achieve the goals or metrics to be used to measure achievement of goal. 	<ul style="list-style-type: none"> Goals meet the long term and short term goal requirements (or any other agreed format.) Goals are sent to Oversight at or before deadline Goals have both reasonable number of steps to achieve the goals and metrics to be used to measure achievement of goal.
Goal Review #1	<ul style="list-style-type: none"> A meeting with the Interview team is not scheduled in November to review progress on goals. 	<ul style="list-style-type: none"> A meeting with the Interview team is scheduled in November to review progress on goals. During the meeting, some evaluation took place for all goals approved by Council. 	<ul style="list-style-type: none"> A meeting with the Interview team is scheduled in November to review progress on goals. During the meeting, effective evaluation took place for all goals approved by Council.
Goal Review #2	<ul style="list-style-type: none"> A meeting with the Interview team is not 	<ul style="list-style-type: none"> A meeting with the Interview team is 	<ul style="list-style-type: none"> A meeting with the Interview team is

	scheduled in February to review progress on goals.	scheduled in February to review progress on goals. <ul style="list-style-type: none"> During the meeting, some evaluation took place for all goals approved by Council. 	scheduled in February to review progress on goals. <ul style="list-style-type: none"> During the meeting, effective evaluation took place for all goals approved by Council.
Final Review	<ul style="list-style-type: none"> A meeting with the Interview team is not scheduled in April to review final progress on goals. 	<ul style="list-style-type: none"> A meeting with the Interview team is scheduled in April to review progress on goals. During the meeting, some final evaluation took place for all goals approved by Council. 	<ul style="list-style-type: none"> A meeting with the Interview team is scheduled in April to review progress on goals. During the meeting, effective final evaluation took place for all goals approved by Council.

Each of the criteria will account for 1/4 of the goal portion of PAI, or 7.5% of the overall PAI allocation.

Effective evaluation shall be defined as evaluation that covers all of the following aspects:

- Discussion on the relevance of goals
- Discussion on the need for any goal revisions
- Discussion on the progress on the goals
- Discussion on the timeline of the goals
- General feedback discussion on goal achievement and performance
- A written self-evaluation on the goals submitted to the interview team.

Executive Duties

Executive Duties account for 30% of the overall PAI allocation. To measure the executives' achievement of their duties, duties listed in the Code of Procedures as well as Bylaws will be used. Currently, the LPC is reviewing the executive duties in the Code of Procedures and if by November those changes are approved by Council, Oversight will use those new amended duties for PAI allocation purposes.

Once the executive duties are set, each executive duties used for PAI purposes will be scored, with the maximum score being 1 and the minimum score being 0, with 0.25 increments. As a result, for each duty, an executive can receive a score of either 0, 0.25, 0.5, 0.75, or 1. The total raw score is then compiled and converted to a percentage, representing the percentage of points achieved over the total possible points the executive could have received.

In addition, any directives set out for the Executives by Council or the Society will also be scored similarly and adds to the overall possible score of the Executive Duties.

This percentage score will be used to calculate the final percentage allocation of the Executive Duties portion of PAI.

Meeting Attendance

Within the new PAI framework, meeting attendance determines the largest portion of the overall PAI allocation. There are three types of meeting that is used for evaluation:

Type of meeting	Purpose	Metric used	Relative Importance
Executive Committee	Executive Committee meets weekly to discuss current issues of the Society. It also aims to ensure effective communication between executives.	The portion of meeting executives attended. Lateness is taken into account.	40%
AMS Council	AMS Council meets every 2 to 3 weeks (with some emergency meetings in the middle.) This is the highest decision making body of the Society and meets to approve important contracts and set the direction of the Society.	The number of Council meetings that the executives attended, using the attendance sheet compiled by the Administrative Assistant.	30%
Standing Committees	Each AMS Executives sit on 2 committees (or in the case of the President, the 2 standing committees they choose to sit on for PAI evaluations.) They work on creating policies and recommend a course of actions to AMS Council on a variety of issues.	The number of Standing Committees meetings that the executives attended, using minutes from that meeting. Lateness is taken into account.	30%

However, for PAI purposes, an executive can submit a reason for not attending a meeting to not have it negatively affect their PAI. Oversight Committee will determine whether the reason(s) is(are) valid or not.

Overall PAI Timeline

Time	Who	What	Deliverables
June – 2015	Interview team	Meet with executives to create the goals of the executives	Draft of goals
	Oversight Chair	Meet with executive committee to outline criteria for evaluation	
July - 2015	Oversight Committee	Review and approve the goals and recommend them to Council	Final goals submitted to Council
	Oversight Chair	Meet with each executives to create role-specific criteria	Criteria for each executive roles (as a submission to Council

			once approved by Oversight Committee)
November - 2015	Oversight Chair	For PAI purposes, evaluate the participation of the evaluation of the progress on the goals	A report on executive participation in the progress meeting for PAI purposes
	Oversight Committee	Evaluate the progress on the goals and present updates to Council	A presentation to Council regarding goal progress of executives
February - 2016	Oversight Chair	For PAI purposes, evaluate the participation of the evaluation of the progress on the goals	A report on executive participation in the progress meeting for PAI purposes
	Oversight Committee	Evaluate the progress on the goals and present updates to Council	A presentation to Council regarding goal progress of executives
April - 2016	Oversight Chair	Compile data gathered and make a final PAI allocation	Final PAI allocation to be submitted to Council as a presentation.
	Oversight Committee	Create the final report on the progress of	Final report on achievement of goals to Council as a presentation.
	Oversight Committee		Report on the PAI Process, what worked, what didn't as a presentation to Council.

Appeals on final PAI allocation

An Executive, upon receipt of the final PAI allocation form Oversight, may choose to appeal the PAI allocation. Such appeal must go through Council and Council, by Two-thirds(2/3) Resolution, modify the decision of the Oversight Committee regarding final PAI allocation.

A Note of Publicity of Oversight

New Code changes to PAI allocation implies that all discussion regarding this PAI (or those concerning Oversight) can be discussed out of camera. That said, we recognize the sensitive nature of some works that Oversight is mandated to do. Therefore, this year, Oversight will be using the following principle to govern how public it will make its records:

“Oversight will put all effort to publicize its records, and relevant documents. However, Oversight will not make a record public if an individual(s) physical health and/or mental health/wellbeing is seriously comprised as a direct result of that record being posted publicly.”

Our goal this year is to be as transparent and public as possible, shedding light onto the work that is being done at Oversight and create new accountability framework for the executives.

Conclusion

This document serves as the Year-Start report of Oversight Committee. If any questions arise as a result of this report, please contact oversight@ams.ubc.ca for a response.