



SUBJECT	UBC ANNUAL REPORT 2016-2017 AND INSTITUTIONAL ACCOUNTABILITY PLAN AND REPORT
MEETING DATE	JUNE 14, 2017

Forwarded to the Board of Governors on the Recommendation of the President

APPROVED FOR SUBMISSION

Santa J. Ono, President and Vice-Chancellor

DECISION REQUESTED	IT IS HEREBY REQUESTED that <i>the UBC Board of Governors approve the 2016-2017 UBC Annual Report and, for submission to the Province, the Institutional Accountability Plan & Report.</i>
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Report Date	May 19, 2017
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Presented By Santa J. Ono, President and Vice-Chancellor
Philip Steenkamp, Vice-President External Relations

EXECUTIVE SUMMARY

The Board is being asked to review and approve the UBC Annual Report 2016-2017 and the Institutional Accountability Plan & Report.

For the previous four years, UBC’s Annual Report was an online format that included long-form stories and performance measures related to the nine *Place and Promise* commitments. The website included all the elements of the Institutional Accountability Plan & Report required by the Ministry of Advanced Education.

As UBC is currently in a strategic planning process, this year’s Annual Report focuses on three core themes of Research, Teaching & Learning, and Campus & Community Engagement. The format has been updated to an online downloadable PDF based on feedback from multiple stakeholders.

The Annual Report includes a number of highlights from the past year, including UBC’s Centennial celebrations, as well as performance measures.

Alongside the Annual Report, we are also putting forward for approval UBC’s 2016-2017 Institutional Accountability Plan & Report (IAPR). The Ministry of Advanced Education requires all public post-secondary institutions to submit an IAPR each year. This year’s IAPR is due to the Ministry by July 14, 2017.

As prescribed by the Ministry, UBC’s IAPR will include an introductory “accountability statement” signed by the Board Chair and President, an overview of the institution’s strategic plan and progress under it, descriptions of how UBC’s activities align with government strategies and the Ministry Service Plan, consolidated financial statements, and reporting on a set of Ministry-mandated performance metrics.

Next Steps For This Report

Performance measures

- IAPR - Many of the data points required by the Ministry are not available until mid-late June – these, along with consolidated financial statements, will be finalized before submission to the Ministry.
- Annual Report - Research numbers will be updated with 2016/17 data once they are available in June.
- Annual Report - Financial metrics will be added in June, once the audited financial statements are approved by the Board.

Communications Plan

- The IAPR will be sent to the Ministry for posting on their website by July 14
- The Annual Report website will go live on July 12
- The website launch will incorporate a number of digital communications strategies and tactics to build awareness and traffic to the site.

INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED

- ✓ Learning ✓ Research ✓ Innovation ✓ Engagement
(Internal / External) ✓ International
- or ✓ Operational
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SUBJECT	POLICY 126 – CAPITAL PROJECTS, CAPITAL PURCHASES AND INTERNAL LOANS
MEETING DATE	JUNE 14, 2017

Forwarded to the Board of Governors on the Recommendation of the President

**APPROVED FOR
SUBMISSION**

Santa J. Ono, President and Vice-Chancellor

DECISION REQUESTED	IT IS HEREBY REQUESTED that <i>the UBC Board of Governors approve proposed Policy 126 (Capital Projects, Capital Purchases and Internal Loans) in the form attached hereto.</i>
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Report Date	May 16, 2017
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Presented By Hubert Lai, Q.C., University Counsel
 Andrew Simpson, Vice-President Finance and Operations
 Angela Redish, Provost and Vice-President Academic *pro tem*

EXECUTIVE SUMMARY

On June 14, 2016, the UBC Board of Governors granted delegated approval authority to the University Administration for capital projects and internal loans up to \$5.0 million, to ensure that Board of Governors’ efforts are focused on major capital projects with significant campus impact. The UBC administration proposed to revise and consolidate relevant policies and signing resolutions accordingly.

On Feb 14, 2017, the Board of Governors received for information a substantively revised Policy 126 - Capital Projects, Capital Purchases and Internal Loans. The proposed Policy formalizes the procedures and approval requirements for all capital expenditures and internal loans at UBC.

The proposed Policy 126 was subsequently released for public consultation, resulting in one comment from UBC Information Technology (IT). Additional internal consultations were undertaken and the Policy Development Committee reconvened to review the comments and the proposed policy. As a result, the Committee has recommended various clarifying amendments, which are summarized in the Description & Rationale section below.

The Committee unanimously recommends the proposed Policy 126, as amended, to the Board for approval.

INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED

- Learning
- Research
- Innovation
- Engagement
- International

(Internal / External)

or Operational

**DESCRIPTION &
RATIONALE**

On February 14, 2017, the Board received the proposed Policy 126 – Capital Projects, Capital Purchases and Internal Loans for information.

The University community was invited to submit comments on the proposed Policy 126 between February 21, 2017 and March 31, 2017 (5 ½ weeks). In addition, directed consultations were undertaken within the Provost’s office, and UBC IT, and the proposed Policy was brought to the President’s Executive Committee, where the proposed Policy was supported, with minor refinements. A description of the comments received, and additional consultations undertaken, are set out in the Consultation section of this Board Report.

The Policy Development Committee met throughout April to review the comments and the Policy text. As a result, the Committee agreed on various clarifying amendments, which may be summarized as follows:

- Numerous non-substantive refinements and clarifications of the text. These changes run throughout the Policy and Procedures.
 - Budget increases within the Incremental Limit (15% of the approved budget, up to \$2.5m) were originally to be made by the approving authority’s delegate (e.g. the Board’s delegate, or the Executive’s delegate). It was left to the approving authority to make that delegation. The feedback was that the most appropriate delegate is the Responsible Executive (the Vice President, Finance and Operations), and so that delegation should be made by the Policy itself; and that the Responsible Executive should be permitted to sub-delegate in appropriate circumstances. To ensure accountability, the budget increase must be reported to the original approving authority at the next reasonable opportunity. (See section 7 of the Policy, pages 4.)
 - The Aggregate Estimated Value of an IT Project is described in the Procedures as including certain identified costs. The feedback received was to revise the description to more closely match the definition of IT Projects in the Policy, and to remove items that are subject to ongoing consideration (e.g. internal costs). (See section 2.3 of the Procedures, Page 7.)
 - The procedures for approving IT Projects under \$2.5m were originally general—requiring the approval of the Provost and/or Deputy Vice Chancellor (DVC) (as applicable) and the Chief Information Officer (CIO). The feedback was to provide more specific guidance. Therefore, to mirror the corresponding procedures regarding Construction Projects, the section has been revised to identify the delegations already
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approved by the Provost, DVC and CIO. (See section 4.4 of the Procedures, Pages 8.)

- The Procedures for seeking the Executive’s approval for all IT Projects under \$5m and the Board’s approval for IT Projects over \$5m have been refined to describe:
 - those matters that brought for information, to assist the approving authority to make a decision; and
 - those matters that are brought for approval.

By way of example, for an IT Project seeking Board 3 approval, approval is required for the updated capital budget and final funding release. Information required for the Board to make a decision include: functional and technical fit/gap, solution architecture, detailed risks and constraints, implementation strategy and plan, updated change management strategy and plan, final operating budget, funding sources, and financing (if required).

For easy reference, a summary of the proposed Policy 126, as presented in February 2017 to the Board, may be found on the Board’s website, at pages 2 - 5: http://bog3.sites.olt.ubc.ca/files/2017/02/2.6_2017.02_Capital-Projects-and-Internal-Loans.pdf.

Clean and black-lined copies of the proposed policy are attached. The black-line copy shows the changes made to the proposed policy since it was presented to the Board in February 2017. A copy of the current policy is available at <http://universitycounsel.ubc.ca/files/2010/08/policy126.pdf>.

BENEFITS Learning, Research, Financial, Sustainability & Reputational	The proposed Policy 126 provides clarity to the University community regarding the approvals required for capital projects, capital purchases and internal loans.
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SCHEDULE Implementation Timeline	Upon approval by the Board, the proposed Policy 126 will take immediate effect.
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CONSULTATION Relevant Units, Internal & External Constituencies	<p>The University community was invited to submit comments on the proposed Policy 126 (the consultation period was from February 21, 2017 to March 31, 2017 (5 ½ weeks)).</p> <p>The sole comment received is attached hereto. It expresses a concern that the approval requirements set out in the proposed Policy 126 would introduce delays for large research projects, particularly those funded by the Canadian Foundation for Innovation (CFI).</p> <p>The Policy Development Committee considered the issue, and concluded that the concern, while important, is unfounded. In particular, because the approvals under the proposed Policy need not be obtained before applications are submitted to CFI. That is, applications to CFI for a project may proceed prior to formal approval from the Executive and Board for that project. Similarly, from a governance perspective, CFI funding does not obligate UBC to</p>
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carry out the funded project, so there is no concern that the funding will interfere with the normal UBC approval requirements.

Therefore, the Policy Development Committee did not recommend any resulting changes to the proposed Policy. However, at the Chief Information Officer’s request, the author of the comment, the Associate Director, Quality and Methods, Office of the CIO, joined the Policy Development Committee.

Additional, directed consultations were then undertaken within the Provost’s office and on May 9th, the proposed Policy was brought to the President’s Executive Committee. Each consultation resulted in support for the proposed Policy, with helpful minor refinements.

The proposed Policy is supported by all members of the Policy Development Committee, which has been drawn from staff involved in Capital Projects, Capital Purchases and Internal Loans from the Vancouver and Okanagan campuses. The members of the Committee are as follows:

1. Hubert Lai, Q.C., University Counsel, Office of the University Counsel (Committee Chair)
2. Michal Jaworski, Legal Counsel, Office of the University Counsel (Secretary)
3. Naureen Ali, Associate Director, Financial Reporting, Office of the Vice-President Finance and Operations
4. Heather Berringer, Chief Librarian, UBC Okanagan
5. Jennifer Burns, Chief Information Officer
6. Rob Einarson, Associate Vice-President Finance and Operations, UBC Okanagan
7. Linda Josh, Managing Assistant Treasurer
8. John Metras, Managing Director, Infrastructure Development
9. Trish Pekeles, Executive Director, Financial Operations
10. Jennifer Sanguinetti, Director, Project Services (commencing in April 2017)
11. Michael Shakespeare, Executive Director, Finance and Operations, Faculty of Medicine
12. Anthony Shelton, Professor and Director, Museum of Anthropology
13. Peter Smailes, Treasurer (commencing in April 2017)
14. Anje Skomorowski, Associate Director, Quality and Methods, Office of the CIO (commencing in April 2017)

- Attachments**
1. Comment from Anje Skomorowski, Associate Director, Quality and Methods, Office of the CIO
 2. Proposed Policy 126 – Capital Projects, Capital Purchases and Internal Loans
 3. Blackline showing changes from the version of Proposed Policy 126 presented to the Board for Information; and the currently proposed Policy 126.

Previous Report Date	February 14, 2017
Decision	The Proposed Policy 126 – Capital Projects, Capital Purchases and Internal Loans was presented for information.

Action / Follow Up	The Proposed Policy 126 would be put out for public consultation, and the proposed Policy would be prepared and brought forward by the University Counsel to the Board of Governors for approval at the June 2017 Board meeting.
Previous Report Date	June 14, 2016
Decision	The UBC Board of Governors grants delegated approval authority to the University Administration for capital projects and internal loans up to \$5.0 million, to ensure that Board of Governors’ efforts are focused on major capital projects with significant campus impact.
Action / Follow Up	As reported to the Board, several UBC policies and signing resolutions reference the \$2.5 million thresholds or otherwise address relevant aspects of UBC’s capital projects processes. Examples include Policy #125 (Retained Risk Fund for Major Capital Projects), Signing Resolution #10 (Major Construction and Real Estate Activities) and Signing Resolution #16 (Minor Capital Projects). The UBC administration proposed to revise and consolidate these policies and signing resolutions into a Capital Policy which would cover all aspects of the capital planning, approval and development process, including the new \$5.0 million approval threshold. It was intended for Retained Risk Fund coverage to still apply to building projects greater than \$2.5 million. The Capital Policy would be prepared and brought forward by the University Counsel to the Board of Governors by the end of the year.
Previous Report Date	September 27, 2011
Decision	Increase capital project and internal loan approval threshold to \$2.5 million.
Action / Follow Up	Threshold increase was implemented.

Attachment 1
Comments re Policy 126

Wong, Elaine

From: Skomorowski, Anje
Sent: Thursday, April 06, 2017 4:53 PM
To: Wong, Elaine; Jaworski, Michal
Cc: Burns, Jennifer
Subject: RE: Policy 126 Comments received & upcoming Apr.12 committee meeting question
Attachments: Appendix - CFI project summary (over \$2.5M).xlsx

Good afternoon

I have gathered some additional commentary on Policy 126 that we might wish to discuss at the policy meeting on the 12th or 19th. After discussion with Helen Burt, Gail Murphy, and Jennifer Burns the 2 recommendations below are suggested for consideration. Since the official commentary date has closed, is it still possible to bring this forward to the committee?

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Impact to Research (Risks and Concerns)

We have concerns that the proposed changes to Policy 126 will introduce significant delays for large research projects, particularly those funded through Canada Foundation for Innovation (CFI) competitions. The concern is particularly acute for projects with IT components. As both the CFI and the Province have numerous deadlines for CFI projects, we are concerned that adding additional approvals will further complicate the process and cause confusion for faculty who are Project Leads. The added benefits of the approvals are small given the well-established multi-stage processes in place to mitigate the risks associated with these research projects. The delays may have a negative impact on research and may potentially violate one of the CFI requirements to implement CFI projects on a timely basis.

Recommendation

1. Our recommendation is to add a clause to the policy definitions around being "projects funded wholly or by a significant portion (>60%) by UBC operating and capital funds" to allow research projects with significant financial controls and multi-stage internal and external review (i.e., CFI Projects) to continue with the current process.
2. A second amendment might be to Section 4.5 (IT approvals between \$2.5 and \$5M) so that research IT projects follow a path of going to Executive for approval with joint presentation by VPR and CIO.

Current Processes

Existing processes for capital projects and purchases through CFI awards are extensive. Internal controls are in place to ensure compliance with UBC and external funding agency guidelines.

- The Institutional Programs Office (IPO) manages the full cycle of CFI awards from the application stage, receiving funds, annual financial reporting to external agencies (i.e., CFI), quarterly cash flow reporting to the Province, project implementation and audit preparation. When IT infrastructure is involved, the IPO works closely with the Advanced Research Computing team (joint between VPR and VPA).
- The application for large CFI projects including budget goes through a multi-stage review before submission to the CFI. This review includes a peer review, budget review, mock panels, and an editorial review. The IPO consults with Deans and Executives as part of the review process before submission to the CFI. The CFI budget is well defined per CFI guidelines.

- After the CFI project is funded, there is a budget finalization process to revisit the budget and have CFI approve the final budget before project implementation. As part of this process, IPO ensures all funding is in place, including matching funds for the project.
- Once the final budget is approved by the CFI, the CFI PG is setup and the project leader leads project implementation. The IPO monitors spending on a quarterly basis to ensure spending is as planned per the project budget.
- On an annual basis, the IPO also reconciles the final project budget and spending before filing the annual financial report to the CFI. When IT is involved, the IPO works closely with the Advanced Research Computing team throughout the project.

Project Impact

Attached is a spreadsheet of CFI projects with a project cost greater than \$2.5M over the last 10 years to give an overview of the kinds of projects that would likely be affected by the proposed Policy 126 changes.

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Attachment not included, but is available to the Board upon request.

Anje Skomorowski
Associate Director, Quality and Methods
Office of the CIO | Engage. Envision. Enable.
The University of British Columbia
Tel: 604.827.2397 | Cel: 778.866.0148

Attachment 2
Proposed Policy 126 – Capital Projects, Capital Purchases and Internal Loans

 <p>The University of British Columbia Board of Governors</p>	Policy No.: 126	Approval Date: June 2017 [anticipated]
	Responsible Executive: Vice President, Finance & Operations	
Title: <p style="text-align: center;">Capital Projects, Capital Purchases & Internal Loans</p>		
Background & Purposes: <p>Pursuant to the <i>University Act</i>, the Board of Governors must act in the best interests of UBC, and must ensure the proper management, administration and control of UBC’s property, revenue, business and affairs.</p> <p>UBC receives funds from many sources, including governments, public agencies, contracting parties, and donors, to carry out its research and teaching mission.</p> <p>The Board of Governors has identified certain types of capital expenditures as being associated with higher risk and requiring greater oversight as part of UBC’s risk management strategy.</p> <p>The purposes of this Policy are to:</p> <ul style="list-style-type: none"> • ensure there is appropriate oversight of capital expenditures and internal loans commensurate with the value and risk associated with those activities; and • establish a framework for requests, approvals, monitoring and reporting. <p>The approval requirements of this Policy are in addition to other Board of Governors Policies and Procedures, and the signing resolutions adopted by the Signing Committee of the Board of Governors, which govern signing agreements and commitments on behalf of UBC.</p> <p>This Policy should be read in conjunction with:</p> <ul style="list-style-type: none"> • <i>Policy #92 – Land Use and Permitting;</i> • <i>Policy #122 – Purchasing;</i> • <i>Policy #125 – Retained Risk Fund for Major Construction Projects;</i> and • <i>UBC’s Signing Resolutions.</i> 		

1. Scope

- 1.1. This Policy applies to Capital Projects and Capital Purchases, and establishes different approval requirements based on their respective Aggregate Estimated Value. This Policy also applies to Internal Loans, and establishes different approval requirements based on loan value.
- 1.2. This Policy applies to Capital Projects and Capital Purchases regardless of the source of the funding or financing. For greater certainty, this Policy applies where a Capital Purchase or Capital Project is fully or partially funded by grants and agreements of any kind (including, but not limited to, research grants and agreements), and donations.

2. Definitions

2.1. In this Policy:

- 2.1.1. “**Aggregate Estimated Value**” means the aggregate estimated value of a Capital Project or Capital Purchase, which includes all costs and expenditures that may be reasonably expected as part of the project or purchase, as further described in the Procedures to the Policy.
- 2.1.2. “**Board**” means the UBC Board of Governors.
- 2.1.3. “**Capital Projects**” means, collectively, Construction Projects and IT Projects.
- 2.1.4. “**Capital Purchases**” means the purchase of physical and intangible assets (whether by way of ownership or leasehold interest, or license) that are used for productive purposes, that have a useful life of over one year, and that do not take place as part of a Construction Project or IT Project, including the purchase of:
- (a) real property;
 - (b) equipment or software, or both, acquired or licensed for research purposes;
 - (c) mechanical and electronic equipment and related software;
 - (d) tools, vehicles, furniture and fixtures;
 - (e) any form of content for the UBC Library’s collections;
 - (f) works of art or other items for public display, education or research for UBC’s museums, art galleries or outdoor art collections; and
 - (g) any other purchases of a similar capital nature, as determined by the Responsible Executive.
- 2.1.5. “**Construction Projects**” means the construction, renewal, renovation, restoration, and replacement of buildings, structures, improvements, and other physical infrastructure, and any parts thereof.
- 2.1.6. “**Executive**” means the President’s Executive Committee.
- 2.1.7. “**Internal Loans**” means loans made by the UBC Treasury to UBC’s own academic, administrative and ancillary units in return for a commitment to repay the loan, with interest.
- 2.1.8. “**IT Projects**” means projects that involve the acquisition or development of software (including purchases, licenses, and subscriptions (e.g. software as a service)) or the acquisition of information technology hardware, or both, including upgrades from one major version to another, and a range of associated activities and services (including planning, scoping, requirements-gathering, installation, development, integration, configuration, and implementation).

3. Approvals, Generally

3.1. Regardless of the Aggregate Estimated Value of a particular Capital Project, Capital Purchase or Internal Loan, if:

3.1.1. the Responsible Executive determines that the matter is precedent-setting or sensitive; or

3.1.2. a member of the Board requests that the matter be brought before the Board for approval,

that Capital Project, Capital Purchase or Internal Loan (as the case may be) must be brought to the Board for approval, through the relevant Board approval process identified in this Policy and its Procedures.

3.2. The approvals required by this Policy are in addition to the requirements otherwise established by the Board, including, without limitation:

3.2.1. all procurements related to Capital Projects and Capital Purchases must be made in compliance with Policy #122 – Purchasing;

3.2.2. all legally binding commitments and agreements required to carry out every Capital Project and Capital Purchase must be signed in accordance with the Signing Resolutions adopted by the Board's Signing Committee, or as otherwise indicated by the Board;

3.2.3. all Construction Projects must comply with Policy #125 – Retained Risk Fund for Major Construction Projects (as applicable) and Policy #92 - Land Use and Permitting, including all applicable Land Use Rules adopted thereunder, and the applicable Governance Requirements (as defined in Policy #92); and

3.2.4. Construction Projects on UBC's Vancouver Campus must not be inconsistent with UBC's Land Use Plan; and Construction Projects on UBC's Okanagan Campus must be in accordance with the applicable land use bylaws and resolutions of the City of Kelowna.

4. Approvals for Capital Purchases

4.1. Every faculty, unit, department or individual that is responsible for a Capital Purchase must ensure that the purchase is made in good faith to advance UBC's mission and mandate, is within the relevant budget or is otherwise fully funded, and that the purchase is conducted in compliance with all policies, rules and regulations relevant to that faculty, unit, department or individual, including the administrative directives issued by the Responsible Executive, or delegate in accordance with the Procedures to this Policy.

4.2. However, the execution of legally binding agreements or commitments to complete a Capital Purchase must be made either:

4.2.1. in accordance with the Signing Resolutions approved by the Signing Committee of the Board; or otherwise,

4.2.2. with the approval of the Board.

5. Approvals for Capital Projects (Construction Projects and IT Projects)

- 5.1. Capital Projects with an Aggregate Estimated Value of over \$5 million require the approval of the Board.
- 5.2. Capital Projects with an Aggregate Estimated Value of \$5 million or less require the approval of the Executive, or their delegate.

6. Consultants for Construction Projects

- 6.1. The procurement process for all Construction Projects must ensure that the process for selecting prime consultants (architects, engineers etc.) ensures the public's confidence in the integrity of the selection process, including without limitation: the principles contained in Policy #122 – Purchasing, and ensuring that equal opportunities for consideration are provided to all interested and eligible firms. The Executive may issue administrative directives regarding selecting prime consultants, and upon publication, all Construction Projects where prime consultants are engaged, must comply with those directives.
- 6.2. It is expected that Construction Projects conducted on UBC premises (owned, leased or otherwise occupied or controlled) will be managed by a UBC department or related-entity with the mandate of providing professional project management and coordination services to UBC. In exceptional circumstances, the Responsible Executive or his/her delegate may approve the delivery of such services by other entities (e.g. the owner of a premises leased by UBC).

7. Budget Increases For Capital Projects

- 7.1. In this Section 7, the “**Incremental Limit**” is a proposed increase that is both:
 - 15% or less of the originally approved Aggregate Estimated Value; and
 - under \$2.5 million.
- 7.2. Where there is a proposal to increase the Aggregate Estimated Value of a Capital Project, the following sections apply:
 - 7.2.1. If the new, increased Aggregate Estimated Value remains within the monetary threshold of the original approval authority, approval for the increase must be sought from that same authority or, if the increase is within the Incremental Limit, the Responsible Executive or their delegate, provided that the Responsible Executive must report the approval to the original approval authority at the next reasonable opportunity.
 - 7.2.2. If the new, increased, Aggregate Estimated Value exceeds the original approval authority's monetary threshold:
 - (a) if the proposed budget increase is within the Incremental Limit, approval for the increase must be sought from the original approval authority, or the Responsible Executive or their delegate, provided that the Responsible Executive must report the approval to the original approval authority at the next reasonable opportunity; and
 - (b) in all other cases, approval for the increase must be sought from the next higher approval authority.

8. Internal Loans

- 8.1. Internal Loans with a value of over \$5 million require the approval of the Board.
- 8.2. Internal Loans with a value of \$5 million or less require the approval of the Executive, or their delegate.
- 8.3. The Responsible Executive shall establish administrative directives that set out the principles, criteria and approval processes for any UBC faculty or unit to obtain an Internal Loan, and the terms upon which Internal Loans will be granted.
- 8.4. All applications for Internal Loans must be developed and brought forward for approval in accordance with those administrative directives, and all Internal Loans must be granted on terms consistent with those administrative directives.

9. Planning and Reporting

- 9.1. The Executive shall establish the terms of reference for an advisory group named the Capital Planning Working Group, consisting of members from the UBC Vancouver and UBC Okanagan campuses, to:
 - 9.1.1. evaluate and prioritize planned and foreseeable Capital Projects (that are determined to be “major” in the terms of reference);
 - 9.1.2. propose a major capital priorities plan; and
 - 9.1.3. propose the Provincially required five-year capital plan.
- 9.2. At least annually and at such other times as requested by the Board, the Responsible Executive will deliver a report to the Board:
 - 9.2.1. on current Capital Projects and Internal Loans and those expected in the next fiscal year; and
 - 9.2.2. the number and value of Capital Projects approved under this Policy in the preceding year, highlighting projects with high profile and significant impact on UBC.

10. Recording

- 10.1. All Capital Projects and Capital Purchases that meet the criteria established by the Responsible Executive must be recorded on the UBC Capital Asset Register established and administered by the Responsible Executive.
- 10.2. All Internal Loans must be recorded on the UBC Internal Loan Register established and administered by the Responsible Executive.

PROCEDURES

Approved: June 2017 [anticipated]

Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors".

Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.

1. General

- 1.1. Approval by the Board means a formal approval in accordance with the Board's bylaws, rules and regulations. Matters brought before the Board for information only are not thereby deemed approved.
- 1.2. Approval by the Executive means approval by the executive committee established by the President, in accordance with that committee's rules and regulations. Matters brought before the Executive for information only are not thereby deemed approved.
- 1.3. If there is any doubt about whether a particular purchase, acquisition, or project is a Construction Project, an IT Project, a Capital Purchase or an Internal Loan, then subject to any direction by the Responsible Executive, the following individuals may make the determination:

Construction Project	Managing Director, Infrastructure Development
IT Project	Chief Information Officer
Capital Purchase	Executive Director, Financial Operations
Internal Loan	Treasurer

- 1.4. Every delegation made under this Policy or these Procedures must be made in writing.

2. Requirements regarding the Aggregate Estimated Value

- 2.1. Where a Capital Project or Capital Purchase will or may reasonably be expected to require additional expenditures, whether because such expenditures will become necessary or advisable as a direct or indirect result of the project or purchase, or are otherwise part of an overarching project or strategy that is broader than the current project or purchase, the following sections apply:
 - 2.1.1. the aggregate estimated value of these additional expenditures must be disclosed at the time of the request for the approval of the Capital Project or Capital Purchase (as the case may be); and
 - 2.1.2. unless otherwise instructed by the Responsible Executive, if:
 - (a) these additional expenditures will be sought within the next two fiscal years; or
 - (b) these additional expenditures are material, as determined by the Responsible Executive, the cost of these additional expenditures must be added to the Aggregate Estimated Value of the Capital Project or Capital Purchase.
- 2.2. The Aggregate Estimated Value of all Construction Projects must include the total estimated cost of the following, as applicable: construction, fixturing (furniture, fixtures and equipment), fitting out and commissioning, associated landscaping, soft costs (including architectural, engineering, project management, legal costs (internal and external), and other pre- and post-construction expenses),

construction period financing costs, permit and development fees and charges (whether imposed by UBC or a municipal authority), contingencies, retained risk (if applicable, see UBC Policy #125), taxes and such other costs as determined by the Responsible Executive.

2.3. The Aggregate Estimated Value of all IT Projects must include:

2.3.1. the estimated costs related to the acquisition or development of the asset(s) (e.g. software) including purchase, licensing or subscription (as the case may be) during the planning, scoping, configuration, customization, development, installation, implementation and integration phase of the IT Project (as the case may be), related vendor and third-party services (including project/program management, configuration, customization, implementation and integration services), contingencies, and taxes;

2.3.2. in a software as a service (or similar) acquisition, the estimated licensing/subscription fees, maintenance (if applicable) and support service fees, etc., for the anticipated initial term of the contract(s) with the service provider(s); and

2.3.3. such other costs (including applicable internal costs) as determined by the Responsible Executive.

2.4. The Responsible Executive may issue directives providing details, interpretations, and guidance regarding determining the Aggregate Estimated Value of Capital Projects.

3. Approvals for Capital Purchases

3.1. The Responsible Executive, or delegate, shall establish, maintain and publish administrative directives to manage the process for applying for the processing of all Capital Purchases, which shall at minimum include confirmation of the source and availability of funds for the purchase, and the required approvals from the unit originating the purchase.

3.2. Where the proposed Capital Purchase may be approved under a Signing Resolution authorized by the Signing Committee of the Board (i.e., the purchase is under \$10 million and is not precedent setting and does not involve sensitive issues) the faculty, department or unit proposing the purchase must ensure that the legally binding agreement or commitment to complete a Capital Purchase is entered into in accordance with the Signing Resolutions issued by the Signing Committee of the Board.

3.3. Where a proposed Capital Purchase may not be approved under a Signing Resolution authorized by the Signing Committee of the Board (i.e. the purchase exceeds \$10 million, or is precedent setting or involves sensitive issues), the faculty, unit or department proposing the purchase must:

3.3.1. proceed in accordance with the administrative directives issued by the Responsible Executive, or delegate; and

3.3.2. seek Board approval through the relevant Dean, if the purchase relates to a faculty, the University Librarian, if the purchase relates to the UBC Library, or otherwise the Vice-President to whom the unit or department reports.

3.4. At least annually, the Responsible Executive shall present to the Board a report of the UBC's aggregate spending on all Capital Purchases.

4. Approvals for IT Projects

4.1. References to the “**Provost/DVC**” in this Section 4 mean:

- 4.1.1. for IT Projects with a material impact upon both the UBC Vancouver and Okanagan campuses and off-campus sites and facilities under joint purview, both the Provost & Vice President Academic (UBC Vancouver), and the Deputy Vice Chancellor and Principal (UBC Okanagan);
- 4.1.2. for IT Projects with a material impact upon only the UBC Vancouver campus and off-campus sites and facilities under its purview, the Provost & Vice President Academic (UBC Vancouver); and
- 4.1.3. for IT Projects with a material impact upon only the UBC Okanagan campus and off-campus sites and facilities under its purview, the Deputy Vice Chancellor and Principal (UBC Okanagan).

4.2. For convenient reference, as further described in this Section 4, all IT Projects require the following approvals:

Aggregate Estimated Value of the IT Project	Approval Authority
under \$2,500,000	Provost/DVC and Chief Information Officer, or their delegates (see Section 4.4 below)
\$2,500,000 and over, up to \$5,000,000	Executive
Over \$5,000,000	Board

4.3. All IT Projects must be developed and brought forward for the approvals described above in accordance with any administrative directives issued by the Provost/DVC and Chief Information Officer.

4.4. Procedures for IT Projects under \$2,500,000:

The Provost/DVC and Chief Information Officer have delegated approval authority as follows:

- (a) for IT Projects with an Aggregate Estimated Value of less than \$250,000 and primarily for the benefit of and consistent with the approved budget of a faculty or unit, that faculty’s Dean or the unit’s Head (or equivalent) or their respective delegate;
- (b) for IT Projects with an Aggregate Estimated Value between \$250,000 and \$1,000,000 and consistent with the approved budget of initiating faculty or administrative unit, the Chief Information Officer;
- (c) for IT Projects with an Aggregate Estimated Value over \$1,000,000, up to \$2,500,000 and consistent with the approved budget of the Provost/DVC, the Provost/DVC;
- (d) notwithstanding the foregoing, for IT Projects with an Aggregate Estimated Value of \$2,500,000 or less where greater than 60% of the funding is from a research grant, the Vice President Research, or their delegate; and
- (e) for all other IT Projects, the Provost/DVC and Chief Information Officer, or their delegate.

4.5. Procedures for IT Projects \$2,500,000 and over, up to \$5,000,000:

4.5.1. The procedure for obtaining the approval of the Executive is the following multi-stage process:

- (a) Provost/DVC 1 Approval: approval of the project idea and rationale.
- (b) Provost/DVC 2 Approval: approval of funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Provost/DVC, and is expected to include: sponsors and advisors, high level scope, initial estimates of capital and operating costs, and funding sources.
- (c) Provost/DVC 3 Approval: approval of funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Provost/DVC, and is expected to include: business case, outline overall expected duration, organizational (people) impact assessment, updated capital and operating budget envelope, and funding sources.
- (d) Executive 1 Approval: approval of project in principle, business case, capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: operating budget, overall expected duration of project, organizational (people) impact assessment and funding sources.
- (e) Executive 2 Approval: approval of updated capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: governance structure, functional and technical requirements, business architecture, change management strategy and plan, funding sources, updated operating budget, revised overall duration of the project, privacy and security assessments, and identification of preferred supplier(s).
- (f) Executive 3 Approval: approval of final capital budgets, final funding release and proceeding to award to supplier(s) and proceed to implementation. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: functional and technical fit/gap, solution architecture, detailed risks and constraints, implementation strategy and plan, revised change management strategy and plan, final operating budgets, funding sources, and financing (if required).

4.5.2. For each IT Project approved under this Section, the project's proponent must submit a post-completion report to the Executive, for information only (sometimes referred to as an Executive 4 Report).

4.5.3. It is expected that all approval requests will be presented by the Chief Information Officer and, if applicable, representatives from the highest-ranking governance committee of the IT Project.

4.6. Procedures for IT Projects of over \$5,000,000:

4.6.1. Prior to Board approvals described in this Section, IT Projects must have received Provost/DVC 3 approval, as described in the Section above.

4.6.2. The procedure for obtaining the approval of the Board is as follows:

- (a) Executive 1 Approval: approval of project idea and rationale.

- (b) Executive 2 Approval: approval of initial capital budget, and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: sponsors and advisors, high level scope, initial operating budget, and funding sources.
- (c) Executive 3 Approval: approval of updated capital budget envelope, and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: business case, outline overall expected duration, Organizational (people) Impact assessment, and funding sources.
- (d) Board 1 Approval: approval of project in principle, capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: business case, outline overall expected duration, Organizational (people) Impact assessment, operating budget and funding sources.
- (e) Board 2 Approval: approval of updated capital budget envelope (if applicable), proceeding to select supplier(s), and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: Governance structure, functional and technical requirements, Business Architecture, Change Management Strategy and Plan, updated operating budget, funding sources, revised overall duration, and privacy and security assessments.
- (f) Board 3 Approval: approval of updated capital budget (if applicable) and final funding release, and authorization to proceed to award to supplier(s) and proceed to implementation. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: functional and technical fit/gap, solution architecture, detailed risks and constraints, implementation strategy and plan, updated change management strategy and plan, final operating budget, funding sources, and financing (if required).

4.6.3. For each IT Project approved under this Section, the project’s proponent must submit a post-completion report to the Board, for information only. This is sometimes referred to as the Board 4 Report.

4.6.4. It is expected that all approval requests will be presented by at least the Provost/DVC and the Chief Information Officer.

5. Approvals for Construction Projects

5.1. For convenient reference, as further described in this Section 5, Construction Projects require the following approvals:

Aggregate Estimated Value of the Construction Project	Approval Authority
Under \$2,500,000	Executive or delegate (see Section 5.3 below)
\$2,500,000 and over, up to \$5,000,000	Executive
Over \$5,000,000	Board

5.2. All Construction Projects must be developed and brought forward for the approvals described in this Section in accordance with any administrative directives issued by the Executive or their delegate.

5.3. Procedures for Construction Projects under \$2.5 million:

The Executive has delegated approval authority as follows:

- (a) for Construction Projects primarily for the benefit of and consistent with the approved budget of a faculty, that faculty's Dean or their delegate;
- (b) for Construction Projects primarily for the benefit of and consistent with the approved budget of the UBC Library, the University Librarian; and
- (c) for all other Construction Projects, the member of the Executive in whose portfolio the Construction Project primarily falls, or their delegate.

5.4. Procedures for Construction Projects \$2,500,000 and over, up to \$5,000,000:

5.4.1. The procedure for obtaining the approval of the Executive is as follows:

- (a) Executive 1 Approval: approval of project concept, rationale, and funding release for activities required to proceed to the next approval.
- (b) Executive 2 Approval: approval of site, initial capital and operating costs, funding sources, the master program and FTE/space allocation, and funding release for activities required to proceed to the next approval.
- (c) Executive 3 Approval: approval of detailed capital and operating costs, funding sources, financing (if required), functional program, urban design context, and schedule and funding release.

5.4.2. It is expected that all approval requests will be presented by at least the Responsible Executive and the Managing Director, Infrastructure Development.

5.4.3. For each Construction Project approved under this Section, the project's proponent must submit a post-completion report to the Executive, for information only (sometimes referred to as an Executive 4 Report).

5.5. Procedures for Construction Projects of over \$5,000,000:

5.5.1. Prior to Board approvals described in this Section, Construction Projects must have received Executive 3 approval, as described in the Section above.

5.5.2. The procedure for obtaining the approval of the Board is as follows:

- (a) Board 1 Approval: approval of project in principle, preliminary program and schedule, location, preliminary capital and operating budgets, funding sources, authorization to proceed to schematic design, and approval of funding release for next stage.
- (b) Board 2 Approval: approval of revised capital and operating budgets (if applicable), and development permit, authorization to proceed to working drawings and tender, updated funding sources (if applicable), updated schedule, detailed program, and approval of funding release for next stage.

(c) **Board 3 Approval:** approval of final capital and operating budgets, funding sources, financing (if required), authorization to proceed to award construction contracts, and approval of final funding release.

5.5.3. It is expected that all approval requests will be presented by at least the Responsible Executive and the Managing Director, Infrastructure Development.

5.5.4. For each Construction Project approved under this Section, the project's proponent must submit a post-completion report to the Board, for information only. This is sometimes referred to as the Board 4 Report.

5.6. Exceptions

For greater certainty, Construction Projects of various values (most often renovations, restorations, renewals and replacements) may be approved by the Executive and the Board as part of the annual routine capital program administered by UBC's department of Infrastructure Development and Campus Operations and Risk Management (UBCO), or the annual budget of Student Housing and Hospitality Services. Unless otherwise indicated by the Executive or the Board, once so approved, such Construction Projects need not proceed through an additional approval process described below, provided however that the other provisions of this Policy apply to such projects.

6. Internal Loans

6.1. For Internal Loans valued at under \$1 million, the Executive has delegated approval authority to the Responsible Executive.

6.2. For convenient reference, all Internal Loans require the following approvals:

Loan Value	Approval Authority
under \$1,000,000	Responsible Executive
\$1,000,000 and over, up to \$5,000,000	Executive
Over \$5,000,000	Board

Attachment 3
Blackline showing changes from the version of Proposed Policy 126 presented to the Board for Information; and the currently proposed Policy 126.

 <p>The University of British Columbia Board of Governors</p>	<p>Policy No.:</p> <p align="center">126</p>	<p>Approval Date: June 2017 [anticipated]</p> <p>Last Revision:</p>
	<p>Responsible Executive: Vice President, Finance & Operations</p>	
<p>Title:</p> <p align="center">Capital Projects, Capital Purchases & Internal Loans</p>		
<p>Background & Purposes:</p> <p>Pursuant to the <i>University Act</i>, the Board of Governors must act in the best interests of UBC, and must ensure the proper management, administration and control of UBC’s property, revenue, business and affairs.</p> <p>UBC receives funds from many sources, including governments, public agencies, contracting parties, and donors, to carry out its research and teaching mission, including making capital expenditures that facilitate research and provide for physical and technological infrastructure.</p> <p>The Board of Governors has identified certain types of capital expenditures as being associated with higher risk and requiring greater oversight as part of UBC’s risk management strategy.</p> <p>The purposes of this Policy are to:</p> <ul style="list-style-type: none"> ensure there is appropriate oversight of capital expenditures and internal loans commensurate with the value and risk associated with those activities; and establish a framework for requests, approvals, monitoring and reporting. <p>The approval requirements of this Policy are in addition to other Board of Governors Policies and Procedures, and the signing resolutions adopted by the Signing Committee of the Board of Governors, which govern signing agreements and commitments on behalf of the University, UBC.</p> <p>This Policy should be read in conjunction with:</p> <ul style="list-style-type: none"> <i>Policy #92 – Land Use and Permitting;</i> <i>Policy #122 – Purchasing;</i> <i>Policy #125 – Retained Risk Fund for Major Construction Projects;</i> and <i>UBC’s Signing Resolutions.</i> 		

Commented [JM1]: Deleted as unnecessary and creating impression that this Policy is geared toward research.

1. Scope

- 1.1. This Policy applies to Capital Projects and Capital Purchases, and establishes different approval requirements based on their respective Aggregate Estimated Value. This Policy also applies to Internal Loans, and establishes different approval requirements based on loan value.
- 1.2. ~~This Policy applies to Capital Projects and Capital Purchases made by UBC, regardless of the source of the funding or financing for the acquisition.~~ For greater certainty, this Policy applies ~~to where a Capital Projects fully funded by grants~~ Purchase or donations, or both, and Capital Purchases ~~Project is~~ fully or partially funded by grants and agreements of any kind (including, but not limited to, research grants and agreements), and donations.

Commented [JM2]: Non-substantive clarification that the scope of the policy; avoiding apparent focus on research projects.

2. Definitions

2.1. In this Policy:

2.1.1. “**Aggregate Estimated Value**” means the aggregate estimated value of a Capital Project or Capital Purchase, which includes all costs and expenditures that may be reasonably expected as part of the project or purchase, as further described in the Procedures to the Policy.

2.1.2. “**Board**” means the UBC Board of Governors.

2.1.3. “**Capital Projects**” means, collectively, Construction Projects and IT Projects.

2.1.4. “**Capital Purchases**” means the purchase of physical and intangible assets whether by way of ownership or leasehold interest, or license that are used for productive purposes, that have a useful life of over one year, and that do not take place as part of a Construction Project or IT Project, including the purchase of:

Commented [JM3]: Clarifying scope of Capital Purchases

(a) real property;

Commented [JM4]: Added for completeness

~~(b)~~ equipment or software, or both, acquired or licensed for research purposes;

~~(c)~~ mechanical and electronic equipment and related software;

~~(d)~~ tools, vehicles, furniture and fixtures;

~~(e)~~ any form of content for the UBC Library’s collections;

~~(f)~~ works of art or other items for public display, education or research for UBC’s museums, art galleries or outdoor art collections; and

~~(g)~~ any other purchases of a similar capital nature, as determined by the Responsible Executive.

2.1.5. “**Construction Projects**” means the construction, renewal, renovation, restoration, and replacement of buildings, structures, improvements, and other physical infrastructure, and any parts thereof.

2.1.6. “**Executive**” means the President’s Executive Committee.

2.1.7. “**Internal Loans**” means loans made by the UBC Treasury to UBC’s own academic, administrative and ancillary units in return for a commitment to repay the loan, with interest.

2.1.8. “**IT Projects**” means projects where a significant component of the deliverables include that involve the acquisition or development of software (including purchases, licenses, and subscriptions) (e.g. software as a service) or the acquisition of information technology hardware, or both, including upgrades from one major version to another, and updates a range of same, and all-associated activities and services (including planning, scoping, requirements-gathering, installation, development, integration, configuration, and implementation).

Commented [JM5]: Clarifying scope of IT Projects

2.2. ~~If there is any doubt about whether a particular purchase, acquisition or endeavour is a Construction Project, an IT Project, a Capital Purchase or an Internal Loan, the Responsible Executive, or his/her designate, shall make the determination.~~

Commented [JM6]: Relocated to the Procedures and revised – see s. 1.3 on Page 7.

3. **Approvals, Generally**

3.1. Regardless of the ~~monetary value~~ **Aggregate Estimated Value** of a particular Capital Project, Capital Purchase or Internal Loan, if:

Commented [JM7]: Clarification

3.1.1. the Responsible Executive determines that the matter is precedent-setting or sensitive; or

3.1.2. a member of the Board requests that the matter be brought before the Board for approval,

that Capital Project, Capital Purchase or Internal Loan (as the case may be) must be brought to the Board for approval, through the relevant Board approval process identified in this Policy and its Procedures.

3.2. The approvals required by this Policy are in addition to the requirements otherwise established by the Board, including, without limitation:

3.2.1. all procurements related to Capital Projects and Capital Purchases must be made in compliance with Policy #122 – Purchasing;

3.2.2. all legally binding commitments and agreements required to carry out every Capital Project ~~and Capital Purchase~~ must be signed in accordance with the Signing Resolutions adopted by the Board's Signing Committee, or as otherwise indicated by the Board;

Commented [JM8]: Correction

3.2.3. all Construction Projects must comply with Policy #125 – Retained Risk Fund for Major Construction Projects (as applicable) and Policy #92 - Land Use and Permitting, including all applicable Land Use Rules adopted thereunder, and the applicable Governance Requirements (as defined in Policy #92); and

3.2.4. Construction Projects on UBC's Vancouver Campus must not be inconsistent with UBC's Land Use Plan; ~~and Construction Projects on UBC's Okanagan Campus must be in accordance with the applicable land use bylaws and resolutions of the City of Kelowna.~~

Commented [JM9]: Confirming circumstances at UBCO

4. **Approvals for Capital Purchases**

4.1. Every faculty, unit ~~or~~ department ~~or individual~~ that ~~instigates~~ **is responsible for** a Capital Purchase must ensure that the purchase is made in good faith to advance UBC's mission and mandate, is within the relevant budget or is otherwise fully funded, and that the purchase is conducted in compliance with all policies, rules and regulations relevant to that faculty, unit, department or ~~unit, individual~~, including the administrative directives issued by the ~~Director, Financial Operations, Responsible Executive, or delegate in accordance with the Procedures to this Policy.~~

Commented [JM10]: Change to Responsible Executive made on the basis that the title and responsibility may change from time to time. This allows the Responsible Executive authority, and the authority to sub-delegate.

4.2. However, the execution of legally binding agreements or commitments to complete a Capital Purchase must be made either:

4.2.1. in accordance with the Signing Resolutions approved by the Signing Committee of the Board; or otherwise,

4.2.2. with the approval of the Board.

5. **Approvals for Capital Projects (Construction Projects and IT Projects)**

5.1. Capital Projects with an Aggregate Estimated Value of ~~over \$5 million or more~~ require the approval of the Board.

Commented [JM11]: Small shift of \$1, to allow reference to round numbers in the Procedures.

5.2. Capital Projects with an Aggregate Estimated Value of ~~less than \$5 million or less~~ require the approval of the Executive, or their delegate.

Commented [JM12]: Small shift of \$1, to allow reference to round numbers in the Procedures.

6. **Consultants for Construction** ~~Contracts~~ **Projects**

Commented [JM13]: Correction

6.1. The procurement process for all Construction Projects must ensure that the process for selecting prime consultants (architects, engineers etc.) ensures the public's confidence in the integrity of the selection process, including without limitation: the principles contained in Policy #122 – Purchasing, and ensuring that equal opportunities for consideration are provided to all interested and eligible firms. The Executive may issue administrative directives regarding selecting prime consultants, and upon publication, all Construction Projects where prime consultants are engaged, must comply with those directives.

6.2. It is expected that Construction Projects conducted on UBC premises (owned, leased or otherwise occupied or controlled) will be managed by a UBC department or related-entity with the mandate of providing professional project management and coordination services to UBC. In exceptional circumstances, the Responsible Executive or his/her delegate may approve the delivery of such services by other entities (e.g. the owner of a premises leased by UBC).

7. **Budget Increases For Capital Projects**

7.1. In this Section 7, the “**Incremental Limit**” is a proposed increase that is both:

- 15% or less of the originally approved Aggregate Estimated Value; and
- under \$2.5 million.

~~7.2. Each approval of a Capital Project includes the authorization to delegate authority to approve budget increases that do not exceed the Incremental Limit.~~

Commented [JM14]: Deleted as unnecessary given 7.2

~~7.3.7.2.~~ Where there is a proposal to increase the Aggregate Estimated Value of a Capital Project, the following sections apply:

~~7.3.1-7.2.1.~~ If the new ~~increased~~ Aggregate Estimated Value remains within the monetary threshold of the original approval authority, approval ~~for the increase~~ must be sought from that same authority or, if the increase is within the Incremental Limit, ~~the Responsible Executive or their delegate, provided that the Responsible Executive must report the approval to the original approval authority at the next reasonable opportunity.~~

Commented [JM15]: The most appropriate delegate is the Responsible Executive (the Vice President, Finance and Operations), and so delegation should be made by the Policy itself. The Responsible Executive should be permitted to sub-delegate in appropriate circumstances. The increase approval must be reported to the original approval authority.

~~7.3.2-7.2.2.~~ If the new ~~increased~~ Aggregate Estimated Value exceeds the original approval authority's monetary threshold:

- (a) if the proposed budget increase is within the Incremental Limit, ~~the approval for the increase must be sought from the original approval authority and, or the Responsible Executive or their delegate may approve the increase, provided that the Responsible Executive must report the approval to the original approval authority at the next reasonable opportunity;~~ and

Commented [JM16]: See comment above.

(b) in all other cases, approval for the increase must be sought from the next higher approval authority.

8. **Internal Loans**

8.1. Internal Loans with a value of over \$5 million or more require the approval of the Board.

8.2. Internal Loans with a value of less than \$5 million or less require the approval of the Executive, or their delegate.

8.3. The Responsible Executive shall establish administrative directives regarding that set out the principles, criteria and approval processes for any UBC faculty or unit to obtain an Internal Loan, and the terms upon which Internal Loans will be granted.

8.4. All applications for Internal Loans must be developed and brought forward for approval in accordance with those administrative directives, and all Internal Loans must be granted on terms consistent with provisions of the those administrative directives.

9. **Planning and Reporting**

9.1. The Executive shall establish the terms of reference for an advisory group named the Capital Planning Working Group, comprised consisting of members from the UBC Vancouver and UBC Okanagan campuses, to:

9.1.1. evaluate and prioritize planned and foreseeable Capital Projects; (that are determined to be "major" in the terms of reference);

9.1.2. develop propose a major capital priorities plan; and

9.1.3. develop a propose the Provincially required five-year capital plan.

~~9.2. Capital Planning Working Group shall annually update and present the five year capital plan to the Board.~~

~~9.3.9.2.~~ At least annually and at such other times as requested by the Board, the Responsible Executive will deliver a report to the Board:

~~9.3.1-9.2.1.~~ on current Capital Projects and Internal Loans and those expected in the next fiscal year; and

~~9.3.2-9.2.2.~~ the number and value of Capital Projects approved under this Policy in the preceding year, highlighting projects with high profile and significant impact on UBC.

10. **Recording**

Commented [JM17]: Small shift of \$1, to allow reference to round numbers in the Procedures.

Commented [JM18]: Small shift of \$1, to allow reference to round numbers in the Procedures.

Commented [JM19]: Clarifying scope of the Working Group.

10.1. All Capital Projects and Capital Purchases that meet the criteria established by the Responsible Executive must be recorded on the UBC Capital Asset Register established and administered by the Responsible Executive.

10.2. All Internal Loans must be recorded on the UBC Internal Loan Register established and administered by the Responsible Executive.

DRAFT

PROCEDURES

Approved: June 2017 [anticipated]

*Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors".
Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.*

1. General

- 1.1. Approval by the Board means a formal approval in accordance with the Board's bylaws, rules and regulations. Matters brought before the Board for information only are not thereby deemed approved.
- 1.2. Approval by the Executive means approval by the executive committee established by the President, in accordance with that committee's rules and regulations. Matters brought before the Executive for information only are not thereby deemed approved.

1.3. If there is any doubt about whether a particular purchase, acquisition, or project is a Construction Project, an IT Project, a Capital Purchase or an Internal Loan, then subject to any direction by the Responsible Executive, the following individuals may make the determination:

<u>Construction Project</u>	<u>Managing Director, Infrastructure Development</u>
<u>IT Project</u>	<u>Chief Information Officer</u>
<u>Capital Purchase</u>	<u>Executive Director, Financial Operations</u>
<u>Internal Loan</u>	<u>Treasurer</u>

1.4. Every delegation made under this Policy or these Procedures must be made in writing.

2. Requirements regarding the Aggregate Estimated Value

- 2.1. Where a Capital Project or Capital Purchase will or may reasonably be expected to require additional expenditures, whether because such expenditures will become necessary or advisable as a direct or indirect result of the project or purchase, or are otherwise part of an overarching project or strategy that is broader than the current project or purchase, the following sections apply:
 - 2.1.1. the aggregate estimated value of these additional expenditures must be disclosed at the time of the request for the approval of the Capital Project or Capital Purchase (as the case may be); and
 - 2.1.2. unless otherwise instructed by the Responsible Executive, if:
 - (a) these additional expenditures will be sought within the next two fiscal years; or
 - (b) these additional expenditures are material, as determined by the Responsible Executive, the cost of these additional expenditures must be added to the Aggregate Estimated Value of the Capital Project or Capital Purchase.
- 2.2. The Aggregate Estimated Value of all Construction Projects must include the total estimated cost of the following, as applicable: construction, fixturing (furniture, fixtures and equipment), fitting out and commissioning, associated landscaping, soft costs (including architectural, engineering, project management, legal costs (internal and external), and other pre- and post-construction expenses),

Commented [JM20]: Relocated from Section 2.2 of the Policy. Added designations of the individuals having authority to make determinations regarding classifying purchases and projects.

Commented [JM21]: Added reference to existing best practice of ensuring delegations are made in writing.

construction period financing costs, permit and development fees and charges (whether imposed by UBC or a municipal authority), contingencies, retained risk (if applicable, see UBC Policy #125), taxes and such other costs as determined by the Responsible Executive.

2.3. The Aggregate Estimated Value of all IT Projects must include:

- 2.3.1. the estimated costs related to the acquisition or development of the asset(s) (e.g. software) including acquisition/purchase, licensing or subscription (as the case may be) during the planning, scoping, configuration, customization, development, installation, implementation and integration phase of the IT Project (as the case may be), related vendor and third-party services (including project/program management, configuration, customization, implementation and integration services), contingencies, and taxes and directly related internal UBC costs (e.g. staff time to configure, customize and implement the project, including ongoing training and support, and any financing and legal costs (internal and external));
- 2.3.2. the costs related to operating the asset(s) for its useful life (normally at least 5 years), including ongoing in a software as a service (or similar) acquisition, the estimated licensing/subscription fees, maintenance and support services, and ongoing internal staff requirements (if applicable) and support service fees, etc., for the anticipated initial term of the contract(s) with the service provider(s); and
- 2.3.3. such other costs (including applicable internal costs) as determined by the Responsible Executive.

2.4. The Responsible Executive may issue directives providing details, interpretations, and guidance regarding determining the Aggregate Estimated Value of Capital Projects.

3. Approvals for Capital Purchases

- 3.1. The Director, Financial Operations The Responsible Executive, or delegate, shall establish, maintain and publish administrative directives to manage the process for applying for the processing of all Capital Purchases, which shall at minimum include confirmation of the source and availability of funds for the purchase, and the required approvals from the unit originating the purchase.
- 3.2. Where the proposed Capital Purchase may be approved under a Signing Resolution authorized by the Signing Committee of the Board (i.e., the purchase is under \$10 million and is not precedent setting and does not involve sensitive issues) the faculty, department or unit proposing the purchase must ensure that the legally binding agreement or commitment to complete a Capital Purchase is entered into in accordance with the Signing Resolutions issued by the Signing Committee of the Board.
- 3.3. Where a proposed Capital Purchase may not be approved under a Signing Resolution authorized by the Signing Committee of the Board (i.e. the purchase exceeds \$10 million, or is precedent setting or involves sensitive issues), the faculty, unit or department proposing the purchase must:
 - 3.3.1. proceed in accordance with the administrative directives issued by the Director, Financial Operations Responsible Executive, or delegate; and
 - 3.3.2. seek Board approval through the relevant Dean, if the purchase relates to a faculty, the University Librarian, if the purchase relates to the UBC Library, or otherwise the Vice-President to whom the unit or department reports.

Commented [JM22]: Revised to more closely match the definition of IT Projects in the Policy, and to remove items that are subject to ongoing consideration (e.g. total cost of ownership, internal costs).

Commented [JM23]: Change to Responsible Executive made on the basis that the title and responsibility may change from time to time. This allows the Responsible Executive authority, and the authority to sub-delegate.

Commented [JM24]: Change to Responsible Executive made on the basis that the title and responsibility may change from time to time. This allows the Responsible Executive authority, and the authority to sub-delegate.

3.4. At least annually, the Responsible Executive shall present to the Board a report of the UBC’s aggregate spending on all Capital Purchases.

4. Approvals for IT Projects

4.1. References to the “Provost/DVC” in this Section 4 mean:

- 4.1.1. for IT Projects ~~affecting with a material impact upon~~ both the UBC Vancouver and Okanagan campuses and off-campus sites and facilities under joint purview, both the Provost & Vice President Academic (UBC Vancouver), and the Deputy Vice Chancellor and Principal (UBC Okanagan);
- 4.1.2. for IT Projects ~~affecting primarily with a material impact upon only~~ the UBC Vancouver campus and off-campus sites and facilities under its purview, the Provost & Vice President Academic (UBC Vancouver); and
- 4.1.3. for IT Projects ~~affecting primarily with a material impact upon only~~ the UBC Okanagan campus and off-campus sites and facilities under its purview, the Deputy Vice Chancellor and Principal (UBC Okanagan).

Commented [JM25]: Adding materiality threshold

Commented [JM26]: Adding materiality threshold

Commented [JM27]: Adding materiality threshold

4.2. For convenient reference, as further described in this Section 4, all IT Projects require the following approvals:

Aggregate Estimated Value of the IT Project	Approval Authority
under \$2,500,000	Provost/DVC and Chief Information Officer, or their delegates (see Section 4.4 below)
\$2,500,000 and over, up to \$4,999,999 5,000,000	Executive
Over \$5,000,000 and over	Preliminary approval: Executive Final approval: Board of Governors

Commented [JM28]: Changed so as to allow for round numbers.

Commented [JM29]: Eliminating concept of preliminary approval, as not expressly addressed elsewhere.

4.3. All IT Projects must be developed and brought forward for the approvals described above in accordance with any administrative directives issued by the Provost/DVC and Chief Information Officer.

4.4. Procedures for IT Projects under \$2,500,000:

~~The Provost/DVC and the Chief Information Officer shall establish and publish the process for seeking and obtaining~~ have delegated approval ~~from the Provost/DVC authority as follows:~~

- ~~(a)~~ ~~for IT Projects with an Aggregate Estimated Value of less than \$250,000 and primarily for the benefit of and consistent with the approved budget of a faculty or unit, that faculty’s Dean or the unit’s Head (or equivalent) or their respective delegate;~~
- ~~(b)~~ ~~for IT Projects with an Aggregate Estimated Value between \$250,000 and \$1,000,000 and consistent with the approved budget of initiating faculty or administrative unit, the Chief Information Officer, or their delegates;~~
- ~~(c)~~ ~~for IT Projects with an Aggregate Estimated Value over \$1,000,000, up to \$2,500,000 and consistent with the approved budget of the Provost/DVC, the Provost/DVC;~~

(d) notwithstanding the foregoing, for IT Projects with an Aggregate Estimated Value of \$2,500,000 or less where greater than 60% of the funding is from a research grant, the Vice President Research, or their delegate; and

(e) for all other IT Projects, the Provost/DVC and Chief Information Officer, or their delegate.

4.5. Procedures for IT Projects ~~between \$2,500,000 and over, up to \$4,999,999~~5,000,000;

4.5.1. The procedure for obtaining the approval of the Executive is the following multi-stage process:

- (a) Provost/DVC 1 Approval: approval of the project ~~concept~~idea and rationale.
- (b) Provost/DVC 2 Approval: approval of funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Provost/DVC, and is expected to include: sponsors and advisors, high level scope, initial estimates of capital and operating costs, ~~funding sources~~, and funding release for the next stage ~~sources~~.
- (c) Provost/DVC 3 Approval: approval of funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Provost/DVC, and is expected to include: business case, outline overall expected duration, organizational (people) impact assessment, ~~secondary~~updated capital and operating ~~budgets~~budget envelope, and funding sources, ~~proceed to mobilization, and funding release for next stage~~.
- (d) Executive 1 Approval: approval of project in principle, business case, ~~outline~~capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: operating budget, overall expected duration of project, organizational (people) impact assessment, ~~secondary~~capital and ~~operating budgets~~envelope, funding sources, ~~proceed to mobilization, and funding release for next stage~~.
- (e) ~~Executive 2 Approval- Governance~~Executive 2 Approval: approval of updated capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: governance structure, functional and technical requirements, business architecture, change management strategy and plan, ~~revised capital and funding sources, updated~~ operating budget ~~envelope, funding sources~~, revised overall duration of the project, privacy and security assessments, ~~proceed to select~~and identification of preferred supplier(s), ~~and funding release for next stage~~.
- (f) ~~Executive 3 Approval~~Executive 3 Approval: approval of final capital budgets, final funding release and proceeding to award to supplier(s) and proceed to implementation. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: functional and technical fit/gap, solution architecture, detailed risks and constraints, implementation strategy and plan, revised change management strategy and plan, final ~~capital and~~ operating budgets, funding sources, and financing (if required); ~~award of implementation contracts, proceed to implementation, and final funding release~~.

Commented [JM30]: The feedback was to provide more specific guidance. Therefore, to mirror the corresponding procedures regarding Construction Projects, the section has been revised to identify the delegations already approved by the Provost, DVC and CIO

Commented [JM31]: These Procedures for seeking the approval have been refined to describe:
-Those matters that brought for information, to assist the approving authority make a decision; and
-Those matters that are brought for approval.

4.5.2. ~~For each IT Project approved under this Section, the project's proponent must submit a post-completion report to the Executive, for information only (sometimes referred to as an Executive 4 Report).~~

Commented [JM32]: Added as reflective of best practices

~~4.5.2-4.5.3.~~ It is expected that all approval requests will be presented by the Chief Information Officer and, if applicable, representatives from the highest-ranking governance committee of the IT Project.

4.6. ~~Procedures for IT Projects of over \$5,000,000 and over:~~

Commented [JM33]: These Procedures for seeking the approval have been refined to describe:
-Those matters that brought for information, to assist the approving authority make a decision; and
-Those matters that are brought for approval.

4.6.1. Prior to Board approvals described in this Section, IT Projects must have received Provost/DVC 3 approval, as described in the Section above.

4.6.2. The procedure for obtaining the approval of the Board is as follows:

- (a) ~~Executive 1 Approval: approval of project concept/idea and rationale.~~
- (b) ~~Executive 2 Approval: Sponsors and Advisors, High approval of initial capital budget, and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: sponsors and advisors, high level scope, initial capital and operating costs, budget and funding sources, and funding release for the next stage.~~
- (c) ~~Executive 3 Approval: approval of updated capital budget envelope, and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Executive, but is expected to include: business case, outline overall expected duration, Organizational (people) Impact assessment, secondary capital and operating budgets envelope, funding sources, proceed to mobilization, and funding release for next stage.~~
- (d) ~~Board 1 Approval: approval of project in principle, capital budget envelope and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: business case, outline overall expected duration, Organizational (people) Impact assessment, secondary capital and operating budgets envelope, budget and funding sources, proceed to mobilization, and funding release for next stage.~~
- (e) ~~Board 2 Approval~~Board 2 Approval: approval of updated capital budget envelope (if applicable), proceeding to select supplier(s), and funding release for activities required to proceed to the next approval. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: Governance structure, functional and technical requirements, Business Architecture, Change Management Strategy and Plan, revised capital and updated operating budget envelope, funding sources, revised overall duration, and privacy and security assessments, approval to proceed to select supplier(s), and funding release for next stage.
- (f) ~~Board 3 Approval: approval of updated capital budget (if applicable) and final funding release, and authorization to proceed to award to supplier(s) and proceed to implementation. The information that will be required to obtain this approval will be determined by the Board, but is expected to include: functional and technical fit/gap, solution architecture, Detailed risks and constraints, Implementation Strategy~~implementation strategy and

~~Plan, Revised Change Management Strategy plan, updated change management strategy and Plan plan, final capital and operating budgets budget, funding sources, and financing (if required), award of implementation contracts, proceed to implementation, and final funding release.)~~

4.6.3. For each IT Project approved under this Section, the project’s proponent must submit a post-completion report to the Board, for information only. This is sometimes referred to as the Board 4 Report.

4.6.4. It is expected that all approval requests will be presented by at least the Provost/DVC and the Chief Information Officer.

5. Approvals for Construction Projects

5.1. For convenient reference, as further described in this Section 5, Construction Projects require the following approvals:

Aggregate Estimated Value of the Construction Project	Approval Authority
Under \$2,500,000	Executive or delegate (see Section 0 below)
\$2,500,000 and over, up to \$4,999,999 <u>5,000,000</u>	Executive
Over \$5,000,000 and over	Preliminary approval: Executive Final approval: Board of Governors

Commented [JM34]: Changed to allow for references to round numbers

Commented [JM35]: Deleted as no express reference to preliminary approval elsewhere in Policy or Procedures.

5.2. All Construction Projects must be developed and brought forward for the approvals described in this Section in accordance with any administrative directives issued by the Executive or their delegate.

~~For greater certainty, routine Construction Projects of various values (most often renovations, restorations, renewals and replacements) may be approved by the Executive and the Board as part of an annual routine capital budget administered by UBC’s department of Infrastructure Development, or the annual budget of Student Housing and Hospitality Services. Unless otherwise indicated by the Executive or the Board, once so approved, such Construction Projects need not proceed through an additional approval process described below, provided however that the other provisions of this Policy apply to such projects.~~

Commented [JM36]: Relocated to Section 5.6 below.

5.3. Procedures for Construction Projects under \$2.5 million:

The Executive has delegated approval authority as follows:

~~(b)(f)~~ (f) for Construction Projects primarily for the benefit of and ~~within consistent with the approved budget~~ of a faculty, that faculty’s Dean ~~or their delegate~~;

Commented [JM37]: Allows flexibility for minor overages

~~(e)(g)~~ (g) for Construction Projects primarily for the benefit of and ~~within consistent with the approved budget~~ of the UBC Library, the University Librarian; and

Commented [JM38]: Allows flexibility for Dean to delegate

Commented [JM39]: Allows flexibility for minor overages

~~(d)(h)~~ (h) for all other Construction Projects, the member of the Executive in whose portfolio the Construction Project primarily falls. ~~That member of the Executive may further sub-delegate this authority, or their delegate.~~

Commented [JM40]: Non-substantive clarification

5.4. Procedures for Construction Projects ~~between \$2,500,000 and \$4,999,999~~ over, up to \$5,000,000:

5.4.1. The procedure for obtaining the approval of the Executive is as follows:

- (a) Executive 1 Approval: approval of project concept and rationale, and funding release for activities required to proceed to the next approval.
- (b) Executive 2 Approval: approval of site, master program, initial capital and operating costs, funding sources, the master program and FTE/space allocation, and funding release for activities required to proceed to the next approval.
- (c) Executive 3 Approval: preliminary functional program, urban design context, approval of detailed capital and operating costs, funding sources, financing (if required), functional program, urban design context, and schedule, and funding release.

Commented [JM41]: Clarifying changes. Unlike in IT Projects, all of these matters go for approval.

- 5.4.2. It is expected that all approval requests will be presented by at least the Responsible Executive and the Managing Director, Infrastructure Development.
- 5.4.3. For each Construction Project approved under this Section, the project's proponent must submit a post-completion report to the Executive, for information only (sometimes referred to as an Executive 4 Report).

5.5. Procedures for Construction Projects of over \$5,000,000 and over:

- 5.5.1. Prior to Board approvals described in this Section, Construction Projects must have received Executive 3 approval, as described in the Section above.
- 5.5.2. The procedure for obtaining the approval of the Board is as follows:
 - (a) Board 1 Approval: approval of project in principle, location, consultant selection, preliminary program, and schedule, location, preliminary capital and operating budgets, funding sources, preliminary schedule, authorization to proceed to schematic design, and approval of funding release for next stage.
 - (b) Board 2 Approval: approval of revised capital and operating budgets, funding sources, revised schedule, detailed program, (if applicable), and development permit, authorization to proceed to working drawings and tender, and updated funding sources (if applicable), updated schedule, detailed program, and approval of funding release for next stage.
 - (c) Board 3 Approval: approval of final capital and operating budgets, funding sources, financing (if required), authorization to proceed to award of construction contracts, and approval of final funding release.

Commented [JM42]: Clarifying changes. Unlike in IT Projects, all of these matters go for approval.

- 5.5.3. It is expected that all approval requests will be presented by at least the Responsible Executive and the Managing Director, Infrastructure Development.
- 5.5.4. For each Construction Project approved under this Section, the project's proponent must submit a post-completion report to the Board, for information only. This is sometimes referred to as the Board 4 Report.

5.6. Exceptions

For greater certainty, Construction Projects of various values (most often renovations, restorations, renewals and replacements) may be approved by the Executive and the Board as part of the annual routine

capital program administered by UBC's department of Infrastructure Development and Campus Operations and Risk Management (UBCO), or the annual budget of Student Housing and Hospitality Services. Unless otherwise indicated by the Executive or the Board, once so approved, such Construction Projects need not proceed through an additional approval process described below, provided however that the other provisions of this Policy apply to such projects.

Commented [JM43]: Relocated from Section 5.2 of the Procedures. Revised non-substantively.

6. Internal Loans

6.1. For Internal Loans valued at under \$1 million, the Executive has delegated approval authority to the Responsible Executive.

6.2. For convenient reference, all Internal Loans require the following approvals:

Loan Value	Approval Authority
Under \$1,000,000 and over	Initial approval: Responsible Executive Final approval: Board of Governors
\$1,000,000 and over, up to \$4,999,999	Executive
Over \$5,000,000	Responsible Executive Board

Commented [JM44]: Revisions to create round numbers and to re-order the amounts so it goes from low value to high value.

DRAFT



SUBJECT POLICY 95 - INVESTIGATIONS

MEETING DATE JUNE 14, 2017

Forwarded to the Board of Governors on the Recommendation of the President

APPROVED FOR SUBMISSION

Santa J. Ono, President and Vice-Chancellor

DECISION REQUESTED IT IS HEREBY REQUESTED that *the UBC Board of Governors approve the proposed amendments to Policy 95 (Investigations).*

Report Date May 16, 2017

Presented By Hubert Lai, Q.C., University Counsel
Lisa Castle, Vice-President Human Resources

EXECUTIVE SUMMARY

The proposed amendments are intended to ensure the integrity, fairness and effectiveness of investigations conducted at UBC by providing guidance on the principles that apply to these investigations.

INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED

- Learning
 - Research
 - Innovation
 - Engagement (Internal / External)
 - International
- or Operational

DESCRIPTION & RATIONALE

Policy #95 (Formal Investigations) was created in 1997 to “provide guidance to University officials who commission formal investigations of situations or incidents at UBC.” The Policy was intended to apply in situations where an investigation process has not already been set up by UBC. While the Policy itself did not contain substantive guidance on how to conduct an investigation, it required the University Counsel/Human Resources to produce advice or written guidelines upon request.

The proposed amendments are intended to provide additional guidance by clarifying the scope of the Policy and outlining the key principles and requirements that must be followed when conducting investigations under the Policy.

Responsible Executives: This has been narrowed from “all executives” to the University Counsel and the Vice-President, Human Resources, who are the two

executives who are accountable under the Policy for providing advice and written guidelines.

Title: As the word “formal” was unclear, the title of the policy has been simplified to “Investigations”.

Background and Purposes: This part has been amended to clarify that the Policy applies to “any conduct that warrants discipline, restrictions on movements or activities, or any other limitation of the Respondent’s privileges, entitlements, rights, or obligations.”

Part 1 (General): This part has been amended to clarify that this Policy only applies where there are no existing investigation processes in place. It also states that the University Counsel and the Department of Human Resources are responsible for issuing Guidelines for Responding to and Investigating Complaints.

Part 2 (Principles): This part outlines the principles that apply to all investigations, namely the principles of procedural fairness, timeliness, and confidentiality.

Part 3 (Confidentiality and Privacy): This part is intended to ensure that investigations are conducted in a privacy-sensitive manner. It establishes a general rule that individuals are required to maintain confidentiality over personal information they obtain through their participation in an investigation. It then lists various exceptions to this rule, which fall into two main categories:

Disclosure by investigation participants: The policy does not prevent any participant in an investigation from disclosing information about themselves, or information they have obtained outside the investigation. Also, it does not prevent complainants and respondents from disclosing the investigation findings and the evidence upon which these findings are based.

Disclosure by UBC: The Policy lists several circumstances in which UBC is authorized to disclose investigation-related information, among which are:

- disclosure of information to its employees, contractors, or volunteers when necessary for the performance of their duties, and to other individuals if necessary for the conduct of the investigation; and
- disclosure to complainants and respondents of the investigation findings and the evidence upon which these findings are based.

If this policy proposal is approved by the Board, the University Counsel and the Department of Human Resources will issue updated Guidelines for Responding to and Investigating Complaints. The University Counsel will also undertake reviews of other investigation-related policies to ensure a consistent approach to confidentiality and privacy among the many types of investigations that UBC conducts. It is important to note in this regard that Policy #131 (Sexual Assault and Other Sexual Misconduct), which was approved by the Board on April 14, 2017, already contains confidentiality and privacy provisions that are substantially the same as those in Policy #95.

BENEFITS
Learning, Research,
Financial,
Sustainability &

These amendments will provide greater certainty about the principles of fairness, timeliness and confidentiality that apply to UBC investigations. This ensures the University complies with its legal obligations to act in accordance with the principles of procedural fairness and protection of privacy. These

Reputational principles will also be inserted into other UBC investigation policies, to ensure a broad level of consistency.

CONSULTATION The University Counsel constituted a Policy Review Committee to consider and advise on the proposed new Policy. The Committee was comprised of the following members:

Relevant Units,
Internal & External
Constituencies

- Paul Hancock, Legal Counsel, Information and Privacy (Chair)
- Pauline Brandes, Director, Human Resources - UBC Okanagan
- Mike Evans, Associate Dean, Research, Graduate, and Post-Doctoral Studies, Irving K. Barber School of Arts & Sciences - UBC Okanagan
- Lindi Frost, Associate Director, Employee Relations, Human Resources
- Kathryn Harrison, Acting Dean, Faculty of Arts
- Allison Matacheskie, Director of Faculty Relations
- Shirley Nakata, Ombudsperson for Students
- Kimberly Rutledge/ Amal Alhuwayshil, Vice-President External, UBC Students' Union Okanagan
- Samantha So/ Daniel Lam, Vice-President Academic & University Affairs, Alma Mater Society
- Janet Teasdale, Managing Director, Student Development and Services (alternate: Chad Hyson, Director, Student Conduct and Safety)

Proposed amendments to Policy #95 were presented to the Board of Governors for information on February 14, 2017. The University then widely solicited comments on the proposed Policy in the following manner: The initial proposal for Policy #95 was published on the website of the Office of the University Counsel (OUC) under a call for comments on February 21, 2017. The comment period was set to run until March 14, 2017, in order to coincide with the comment period for Policy #131 (Sexual Assault and Other Sexual Misconduct), which contained similar confidentiality and privacy provisions. The OUC also sent an email highlighting the key elements of the amendments to Policy #95 and calling for comments via the "Heads Up" email distribution list on both campuses to: the UBC executive team, associate vice-presidents, all deans, principals, associate deans, directors and heads of unit, department directors, student leaders and union leaders.

At the request of the UBC Steering Committee on Sexual Assault, the Chair of the Policy Review Committee met with representatives of that committee on two occasions to answer their questions and receive their feedback. Also, when the Faculty Association raised a concern that it had not had enough time to provide effective feedback, the Policy Review Committee held a special meeting with Faculty Association representatives on May 2 to receive their feedback.

Finally, the OUC requested and received feedback from the Office of the Information and Privacy Commissioner about whether the proposed Policy amendments comply with the *Freedom of Information and Protection of Privacy Act*.

A number of comments (summarized in the attached table) were received from faculty, staff, and the Office of the Information and Privacy Commissioner. The table also contains summaries of all comments received about the confidentiality and privacy provisions in Policy #131 (which, as previously noted, were substantially the same as those in Policy #95).

The Policy Review Committee reviewed the comments it had received and unanimously approved several revisions to improve the clarity of the proposed Policy, notably:

- Rewording section 1.1 to clarify the scope of the Policy.
- Amending section 3.4 to require UBC to "ensure that both Complainants and Respondents know the Investigation findings and the evidence upon which these findings are based." This provides greater flexibility and responsiveness to Complainants and Respondents, while also recognizing the fact that investigation reports are not produced after every investigation.
- Amending section 3.6 to clarify that the FIPPA only authorizes UBC to disclose disciplinary actions taken against the Respondent if the disclosure is authorized by the University Counsel for compelling health or safety reasons. This principle has been confirmed by the Office of the Information and Privacy Commissioner.

Additional Materials

A copy of the current policy is available at <http://universitycounsel.ubc.ca/files/2010/08/policy95.pdf>. Copies of the following additional materials are attached:

1. a clean copy of proposed Policy #95
2. a blacklined copy of Policy #95 showing the differences between the proposed version presented to the Board on February 14, 2017 and the version now being presented for approval.

Previous Report Date	January 9, 2017
Decision	Presented to the Board for information and input, following which community consultation was undertaken.

 The University of British Columbia Board of Governors	Policy No.: 95	Approval Date: February 1997 Last Revision: XXXXXXXXXXXXXXXX
	Responsible Executive: University Counsel Vice-President, Human Resources	
Title: <p style="text-align: center;">Investigations</p>		
Background & Purposes: To provide direction to University officials who commission or conduct investigations of situations or incidents at UBC. This Policy only applies to formal processes that may result in discipline, restrictions on movements or activities, or any other limitation of the Respondent's privileges, entitlements, rights, or obligations. This policy does not apply to informal inquiries or fact-finding that are intended to determine whether to commence an investigation.		

1. General

- 1.1. This Policy does not apply to Investigations that are conducted in accordance with the processes established by UBC under policies such as Policy #3, Discrimination and Harassment; Policy #85, Scholarly Integrity; Policy #111, Internal Audit, Investigations and Financial Whistleblower; or procedures such as the Student Code of Conduct.
- 1.2. When no such process exists, the authorized UBC representative must conduct Investigations in accordance with the principles and confidentiality requirements set out in this Policy. In addition, they should refer to the non-binding Guidelines for Responding to and Investigating Complaints issued by the University Counsel and the Department of Human Resources. They may seek additional advice from the Office of the University Counsel (for situations/incidents involving students) or the Department of Human Resources (for situations/incidents involving members of faculty or staff).

2. Principles

- 2.1. **Fairness:** Investigations must be conducted in accordance with the principles of procedural fairness. Respondents have a right to know the nature of the allegations against them, to have an opportunity to respond to those allegations, to have those allegations investigated in an unbiased manner, and to receive reasons for any decision that impacts their privileges, entitlements, rights, or obligations.
- 2.2. **Timeliness:** Investigations must be concluded in a timely manner.
- 2.3. **Confidentiality:** Investigations are confidential, and Personal Information must only be disclosed as set out in section 3 of the Policy.

3. Confidentiality and Privacy

- 3.1. In order to protect the integrity, fairness, and effectiveness of Investigations and to ensure compliance with the *Freedom of Information and Protection of Privacy Act* (FIPPA), all participants in an Investigation must act in accordance with the requirements set out below.
- 3.2. Individuals, including the Complainant and Respondent, who have obtained Personal Information through their participation in an Investigation must not disclose this information to anybody except their own personal advisors or representatives, or as required by law. However, this section does not prevent:
 - 3.2.1. any participants in the Investigation from disclosing information about themselves, or information they have obtained outside the Investigation;
 - 3.2.2. UBC employees, contractors, or volunteers from disclosing Investigation-related information as authorized under section 3.3; or
 - 3.2.3. Complainants and Respondents from disclosing the information they have received under sections 3.4 and 3.5.
- 3.3. UBC will not disclose any Personal Information related to an Investigation except to the extent such disclosure is:
 - 3.3.1. expressly authorized by the affected individual;
 - 3.3.2. to a UBC employee, contractor, or volunteer, if necessary for the performance of that individual's duties;
 - 3.3.3. to a Complainant, Respondent, witness or other participant in the Investigation, if necessary for the conduct of the Investigation;
 - 3.3.4. to a Complainant or Respondent in accordance with sections 3.4 and 3.5;
 - 3.3.5. authorized by the University Counsel for compelling health or safety reasons;
 - 3.3.6. authorized by the University Counsel to correct misleading or inaccurate information if necessary to protect the integrity of the Investigation or UBC's investigatory processes; or
 - 3.3.7. authorized or required under law.
- 3.4. To maintain the integrity of the Investigation process, UBC must ensure that both Complainants and Respondents know the Investigation findings and the evidence upon which these findings are based. The FIPPA may require UBC to withhold Personal Information that is irrelevant to the Investigation findings, or that identifies third parties. If there are multiple Complainants or multiple Respondents, they will only receive the information that is relevant to them.
- 3.5. Under the FIPPA, UBC is only authorized to disclose disciplinary actions it has taken against the Respondent if the disclosure is authorized by the University Counsel for compelling health or safety reasons. For example, UBC will normally inform Complainants of any restrictions that may have been imposed upon the Respondent's movements or activities.
- 3.6. Section 3.2 does not prevent Complainants and Respondents from disclosing the information they received under sections 3.4 and 3.5. However, Complainants or Respondents who choose to disclose such information should keep in mind that the disclosure of such information may result in a legal claim being made against

them by the other party or other individuals (including, for example, a defamation or breach of privacy claim) and may wish to seek advice before doing so.

4. Definitions

- 4.1. **“Complainant”** is an individual who has alleged that they have been directly subjected to Misconduct by a Respondent;
- 4.2. **“Investigation”** is the process undertaken by UBC to ascertain whether a Respondent has engaged in Misconduct;
- 4.3. **“Misconduct”** is any conduct that warrants discipline, restrictions on movements or activities, or any other limitation of the Respondent’s privileges, entitlements, rights, or obligations;
- 4.4. **“Personal Information”** is information about an identifiable individual; and
- 4.5. **“Respondent”** is the person who is the subject of the Investigation.

 The University of British Columbia Board of Governors	Policy No.: 95	Approval Date: February 1997 Last Revision: XXXXXXXXXXXXXXXX
	Responsible Executive: University Counsel Vice-President, Human Resources	
Title: <p style="text-align: center;">Investigations</p>		
Background & Purposes: To provide direction to University officials who commission or conduct investigations of situations or incidents at UBC. This Policy only applies to formal processes that may result in discipline, restrictions on movements or activities, or any other limitation of the Respondent's privileges, entitlements, rights, or obligations. This policy does not apply to informal inquiries or fact-finding that are intended to determine whether to commence an investigation.		

1. General

- 1.1. This Policy does not apply to Investigations ~~must be~~ that are conducted in accordance with the processes established by UBC under policies such as Policy #3, Discrimination and Harassment; Policy #85, Scholarly Integrity; Policy #111, Internal Audit, Investigations and Financial Whistleblower; or procedures such as the Student Code of Conduct.
- 1.2. When no such process exists, the authorized UBC representative must conduct Investigations in accordance with the principles and confidentiality requirements set out in this Policy. In addition, they should refer to the non-binding Guidelines for Responding to and Investigating Complaints issued by the University Counsel and the Department of Human Resources. They may seek additional advice from the Office of the University Counsel (for situations/incidents involving students) or the Department of Human Resources (for situations/incidents involving members of faculty or staff).

2. Principles

- 2.1. **Fairness:** Investigations must be conducted in accordance with the principles of procedural fairness. Respondents have a right to know the nature of the allegations against them, to have an opportunity to respond to those allegations, to have those allegations investigated in an unbiased manner, and to receive reasons for any decision that impacts their privileges, entitlements, rights, or obligations.
- 2.2. **Timeliness:** Investigations must be concluded in a timely manner.
- 2.3. **Confidentiality:** Investigations are confidential, and Personal Information must only be disclosed as set out in section 3 of the Policy.

3. Confidentiality and Privacy

- 3.1. In order to protect the integrity, fairness, and effectiveness of Investigations and to ensure compliance with the *Freedom of Information and Protection of Privacy Act*, (FIPPA), all participants in an Investigation must act in accordance with the requirements set out below.
- 3.2. Individuals, including the Complainant and Respondent, who have obtained Personal Information through their participation in an Investigation must not disclose this information to anybody except their own personal advisors or representatives, or as required by law. ~~This~~However, this section does not prevent:
 - 3.2.1. any participants in the Investigation from disclosing information about themselves, or information they have obtained outside the Investigation;
 - 3.2.2. UBC employees, contractors, or volunteers from disclosing Investigation-related information as authorized under section 3.3; or
 - 3.2.3. Complainants and Respondents from disclosing the information they have received under sections 3.4 and 3.5.
- 3.3. UBC will not disclose any Personal Information related to an Investigation except to the extent such disclosure is:
 - 3.3.1. expressly authorized by the affected individual;
 - 3.3.2. to a UBC employee, contractor, or volunteer, if necessary for the performance of that individual's duties;
 - 3.3.3. to a Complainant, Respondent, witness or other participant in the Investigation, if necessary for the conduct of the Investigation;
 - 3.3.4. to a Complainant or Respondent in accordance with sections 3.4 and 3.5;
 - 3.3.5. authorized by the University Council for compelling health or safety reasons;
 - 3.3.6. authorized by the University Council to correct misleading or inaccurate information if necessary to protect the integrity of the Investigation or UBC's investigatory processes; or
 - 3.3.7. authorized or required under law ~~or University policy~~.
- 3.4. ~~For reasons of fairness, To maintain the integrity of the Investigation process, UBC must ensure that both Complainants and Respondents will be provided with a copy of~~know the Investigation ~~Report, subject findings and the evidence upon which these findings are based. The FIPPA may require UBC to the removal of~~withhold Personal Information ~~where required under the Freedom of Information and Protection of Privacy Act.that is irrelevant to the Investigation findings, or that identifies third parties.~~ If there are multiple Complainants or multiple Respondents, they will only receive the ~~portions of the Investigation Report~~information that ~~are~~is relevant to them.
- 3.5. ~~Complainants do not have~~Under the ~~right to know whether~~FIPPA, UBC ~~has taken any~~is only authorized to ~~disclose~~ disciplinary ~~action~~actions it has taken against the Respondent ~~because~~if the disclosure ~~of such information is considered to be an unreasonable invasion of the Respondent's privacy. However, if necessary~~is authorized by the University Council for compelling health or safety reasons. ~~For example, UBC will normally inform~~ Complainants ~~will be informed~~ of any ~~relevant~~ restrictions that may have been imposed upon the Respondent's movements or activities.

3.6 Section 3.2 does not prevent Complainants and Respondents from disclosing the information they received under sections 3.4 and 3.5. However, Complainants or Respondents who choose to disclose such information ~~are responsible for the consequences of their decisions, and should be aware~~should keep in mind that the disclosure of such information may result in a legal claim being made against them by the other party or other individuals (including, for example, a defamation or breach of privacy claim~~);) and may wish to seek~~advice before doing so.

4. Definitions

4.1. **“Complainant”** is an individual who has alleged that they have been directly subjected to Misconduct by a Respondent;

4.2. **“Investigation”** is the process undertaken by UBC to ascertain whether a Respondent has engaged in Misconduct;

~~4.3. **“Investigation Report”** sets out the alleged Misconduct and UBC’s findings as to whether this Misconduct occurred;~~

~~4.44.3.~~ **“Misconduct”** is any conduct that warrants discipline, restrictions on movements or activities, or any other limitation of the Respondent’s privileges, entitlements, rights, or obligations;

~~4.54.~~ **“Personal Information”** is information about an identifiable individual; and

~~4.65.~~ **“Respondent”** is the person who is the subject of the Investigation.



SUBJECT	POLICY 20 – ADVERTISING OF POSITION VACANCIES
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MEETING DATE	JUNE 14, 2017
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Forwarded to the Board of Governors on the Recommendation of the President

APPROVED FOR SUBMISSION

Santa J. Ono, President and Vice-Chancellor

DECISION REQUESTED	IT IS HEREBY REQUESTED that <i>the UBC Board of Governors approve the proposed amendments to Policy 20 (Advertising of Position Vacancies) and associated Procedures, effective June 14, 2017.</i>
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Report Date	May 16, 2017
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Presented By Hubert Lai, Q.C., University Counsel
 Angela Redish, Provost and Vice-President Academic *pro tem*
 Lisa Castle, Vice-President Human Resources
 Deborah Buszard, Deputy Vice-Chancellor and Principal, Okanagan
 Cynthia Mathieson, Provost and Vice-Principal, Okanagan

EXECUTIVE SUMMARY

Policy #20 establishes requirements for posting and advertising available employment positions before selecting a candidate. Policy #20 requires that all postings and advertisements for available employment positions must (i) include an approved employment equity statement set out in the Procedures to Policy #20; (ii) comply with the advertising requirements of Employment and Social Development Canada/Service Canada and Immigration, Refugees and Citizenship Canada (collectively, "Employment and Social Development Canada"), if applicable; (iii) comply with any applicable employee group agreements, including collective agreements; and (iv) comply with Policy #94 (Visual Identity). In addition, Policy #20 requires certain employment positions to be advertised in accordance with the Procedures to Policy #20, unless this advertising requirement is waived by the Responsible Executive.

The proposed amendments to Policy #20:

- update the category of employment positions that must be advertised in accordance with the Procedures to Policy #20;
- update the employment equity statement to align with current UBC values and aspirations to proactively attract a broad pool of qualified applicants by including diversity as a key criteria in searches;
- expand the comprehensive list of circumstances where the requirement to advertise in accordance with the Procedures may be waived by the Responsible Executive; and
- provide accountability for advertising waivers by facilitating reports to the Board of Governors.

The proposed amendments also update the Procedures to Policy #20 to include reference to the advertising requirements prescribed by the Government of Canada Research Chairs Program and to reflect current advertising requirements prescribed by Employment and Social Development Canada.

<p><i>If this item was previously presented to the Board, please provide a brief description of any major changes since that time.</i></p>	<p>The proposed amendment of Policy #20 was presented to the Board of Governors for information at its February, 2017 meeting. The Office of the University Counsel solicited comments on the proposed policy amendments from the UBC community, and received four comments in response. All of these comments were provided to the Policy Review Committee. After thoroughly considering this feedback, the Committee prepared revised proposed policy amendments to Policy #20. A summary of the feedback that was received during the consultation process and the Committee’s response to each are attached. Major changes were made to the University employment equity and diversity statement, which is included in the Procedures to the Policy. These changes were made in consultation with the Vice-President, Human Resources, and the Associate Vice-President, Equity & Inclusion. The Committee also added some clarification language to the Policy and Procedures based on community feedback.</p>
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INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED

- Learning
 Research
 Innovation
 Engagement
 International
 (Internal / External)
- or Operational

DESCRIPTION & RATIONALE

The purpose of Policy #20 is to establish advertising practices for available employment positions to improve UBC’s potential to attract a broad and diverse pool of qualified applicants.

Policy #20 was first approved in 1992 and was amended in 2013. In 2013, Policy #20 was amended:

- to revise the employment equity statement included in the Policy; and
- to update Policy #20 in accordance with UBC’s evolving policy drafting processes.

These 2013 amendments consolidated UBC’s advertising practices into the Procedures to the Policy.

Currently, Policy #20 applies only to those employment positions listed in the body of the Policy. These are: all tenure-stream and term positions for faculty members, librarians, and program directors in continuing studies; designated senior academic administrators; research associates, postdoctoral fellows; and staff positions where posting of the position is required by applicable employment agreements. Currently, Policy #20 requires that postings and advertisements for those positions listed in Policy #20 must:

- include the employment equity statement set out in the Procedures to Policy #20;
- comply with Employment and Social Development Canada requirements, set out for reference in the Procedures to Policy #20, if

an academic or administrative unit intends to conduct an international search;

- comply with applicable employment agreements, including any collective agreements or handbooks; and
- comply with Policy #94 (Visual Identity) (collectively, the “Minimum Advertising Requirements”).

In addition, Policy #20 currently requires that postings and advertisements for the positions listed in the Policy must be advertised in accordance with the Procedures to the Policy, unless:

- Policy #20 states that UBC does not require the position to be advertised in accordance with the Procedures to the Policy; or
- circumstances, specified by Policy #20, permit the Responsible Executive to waive the requirement for the position to be advertised in accordance with the Procedures to the Policy.

If approved, the proposed amendments to Policy #20 will identify certain employment positions that must be advertised in accordance with the Procedures to the Policy before the positions are filled, while advertisements for positions not expressly listed in Policy #20 will be optional. The proposed amendment will establish that academic or administrative units that advertise for any available position, whether advertising is required or optional, must comply with the Minimum Advertising Requirements.

The key proposed amendments to Policy #20 are:

- creating definitions for the types of employment positions referred to in the Policy;
- identifying additional employment positions that must be advertised in accordance with the Procedures to the Policy;
- identifying additional circumstances that permit the Responsible Executive to waive the requirement for an employment position to be advertised;
- enabling the Responsible Executive to waive the requirement for an employment position to be advertised in special circumstances, other than those specifically stated in Policy #20;
- facilitating an annual report to the Board of Governors regarding the circumstances where the Responsible Executive has waived the advertising requirement; and
- renaming the title of Policy #20 as "Advertising of Available Employment Positions".

The last amendments to Policy #20 in 2013 shifted the detailed advertising requirements, including those requirements prescribed by UBC and those mandated by Employment and Social Development Canada, to the Procedures to the Policy. The 2013 amendments to Policy #20 adopted the employment equity statement approved by the Provost’s Advisory Committee on Equity and Diversity in the Procedures to the Policy. However, the employment equity statement has not been updated since 2013.

The key proposed amendment to the Procedures is to update the employment equity statement to recognize how equity and diversity are essential to

academic excellence, and to expand the list, encouraging applications from members of groups that have been marginalized, to provide a more inclusive list that includes members of groups that have been marginalized on any grounds enumerated under the B.C. Human Rights Code. The proposed amendments rename the employment equity statement as the “University Diversity Statement”.

Other proposed amendments to the Procedures are:

- updates to the Employment and Social Development Canada requirements set out for reference in the Procedures, taking into account changes made by the Government of Canada to the Temporary Foreign Worker Program in 2014;
- advertising requirements prescribed by UBC for the proposed additional employment positions to be advertised in accordance with the Procedures;
- identification of the Responsible Executive for the proposed additional employment positions;
- reference to advertising requirements prescribed by the Government of Canada Research Chairs Program;
- identifying the UBC Careers – UBC Human Resources website in UBC’s advertising requirements;
- streamlining the appropriate publications prescribed in UBC’s advertising requirements; and
- changing the manner in which advertising copy for available positions as tenure-stream faculty members are approved.

BENEFITS
Learning, Research,
Financial,
Sustainability &
Reputational

The proposed amendment to Policy #20 will establish that academic or administrative units that advertise for any available position, whether advertising is required or optional, must comply with the Minimum Advertising Requirements. The proposed amendments to Policy #20 will support UBC’s efforts to access the largest pool of qualified candidates for each available employment position. The proposed amendment to the employment equity statement in the Procedures to the Policy renews UBC’s commitment to equity, diversity and inclusion by recognizing that diversity is an essential component to excellence in learning, teaching and research.

CONSULTATION
Relevant Units,
Internal & External
Constituencies

The Office of the University Counsel conducted a review of comparable policies at UBC’s peer institutions. It then constituted a Policy Review Committee comprised of the following members to consider and advise on the review of Policy #20:

- Hubert Lai, Q.C., University Counsel (Chair);
- Elise Everest, External Legal Counsel (Secretary) ;
- George Athans, Manager, Human Resources and Employee Relations, UBC Okanagan ;
- Rebekkah Coburn, Senior Manager, HR and Faculty Relations, UBC Vancouver;
- Gillian Creese, Associate Dean, Faculty and Equity, Faculty of Arts, UBC Vancouver;

Sylvie Desjardins, Associate Dean, Strategic Personnel Planning and Development, Irving K. Barber School of Arts and Sciences, UBC Okanagan; and
Larry Walker, Senior Associate Dean, Graduate Policy and Program Review, Faculty of Graduate and Postdoctoral Studies.

In preparing the proposed amendments to Policy #20, the Policy Review Committee solicited comment by the Provost and Vice-President Academic, UBC Vancouver, the Provost and Vice Principal, UBC Okanagan, and circulated the proposed amendments to the Director and Senior Managers at Faculty Relations, UBC Vancouver. In addition, the Policy Review Committee asked the Provost and Vice-President Academic, UBC Vancouver and the Provost and Vice Principal, UBC Okanagan to request further comment from the Deans regarding circumstances in which UBC should not require advertising.

The proposed amendment of Policy #20 was presented to the Board of Governors for information at its meeting on February 14, 2017. The proposed amendment was then published for public comment on the Office of the University Counsel website and an email was sent to the “Heads Up” email list regarding the Call for Comments. The “Heads Up” email list includes members of the groups from all campuses: student groups, union groups, UBC Executive, Associate Vice-Presidents, Deans and Principals, Associate Deans, all Directors, Heads of Units, and Departmental Directors.

The Policy Review Committee received four responses to the Call for Comments and met to discuss the responses. The Committee reviewed all of the responses in detail, and made a number of changes to address the concerns raised by the UBC community and during committee discussion. The comments have been summarized in a table together with the Committee’s response to each comment.

In response to the Call for Comments, the Associate Vice-President, Equity & Inclusion provided the Policy Review Committee with a revised University Employment Equity Statement for consideration. The Policy Review Committee wished to preserve the essence of the new language proposed by the Associate Vice-President, Equity & Inclusion, but amended the revised University Employment Equity Statement provided by the Associate Vice-President, Equity & Inclusion. The proposed amendment to the Procedures to the Policy, including the proposed University Diversity Statement, is supported by the Policy Review Committee and the Associate Vice-President, Equity & Inclusion, as well as the Vice-President, Human Resources.

After the Policy Review Committee prepared revised proposed amendments to Policy #20, the Policy Review Committee again provided the revised proposed amendments to the Provost and Vice-President Academic, UBC Vancouver, the Provost and Vice Principal, UBC Okanagan, and circulated the proposed amendments to the Director and Senior Managers at Faculty Relations, UBC Vancouver for additional comment. The Provosts were also encouraged to circulate the revised proposed amendments to the Deans.

The proposed amendments to Policy #20 are unanimously recommended by the Policy Review Committee.

Additional Materials

The following materials are attached:

1. summary table of comments received through the Call for Comments and the Committee’s responses to each;
2. comparison of pre- and post-consultation versions of the proposed amendments to Policy #20; and

a copy of the current policy is available at <http://universitycounsel.ubc.ca/files/2013/06/policy20.pdf>.

Previous Report Date	February 14, 2017
Decision	Presented to the Board for information, following which community consultation was undertaken

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
1	<p>From John Innes, Dean, Faculty of Forestry</p> <p>Overall, these changes are positive.</p> <p>My biggest concern would be the exceptions under 5.2.</p> <p>Can the Provost waive the need to advertise when the exceptional candidate is not Canadian? Doesn't this violate the need to offer a position first to eligible (but not necessarily exceptional) Canadians and new immigrants? I'd be delighted if we really can do this, but it runs against my understanding of the federal legislation.</p>	Policy, section 5.2	<p>The Committee agreed with the essence of Dean Innes' comment that it is unclear whether Employment and Social Development Canada requirements apply when the Responsible Executive considers special circumstances for an advertising waiver. The Committee believes that Employment and Social Development Canada requirements apply in all circumstances. Therefore, clause 5.2 of the Policy will be amended to include the phrase "Special circumstances are subject to Employment and Social Development Canada requirements..."</p>
2	<p>From Linda Leathley, UBC CRC Secretariat</p> <p>The Canada Research Chairs program requires that all vacant chairs be advertised. This applies to the nomination on new chairs (whether the chair position is used to retain current researchers or recruit new researchers to the institution), as well as the advancement of a Tier 2 to a Tier 1 chair.</p> <p>CRC has recently put together a draft action plan for institutions to review in regards to Canada Research Chairs Equity, Diversity and Inclusion. Imbedded within the document is information in regards to advertising and hiring.</p> <p>A.4 Require that a copy of the open job advertisement for the Chair position be submitted with all nominations submitted to the program for peer review (as of October 2017).</p> <p>A.5 Increase the number of institutions that are included in the yearly monitoring schedule to verify the transparency of their recruitment and</p>	Procedures, section 5	<p>The Committee was previously unaware of the draft action plan provided to the Committee by the UBC CRC Secretariat. The Committee discussed the purpose of section 5 of the Procedures to the Policy. The purpose is to highlight for academic units wishing to recruit or nominate a Canada Research Chair position that the Canada Research Chair Program will have additional advertising requirements that must be followed by the unit, in addition to requirements under Policy #20. The Committee amended section 5 of the Procedures to the Policy to include a requirement to advertise for Canada Research Chair positions in a manner that is</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
	<p>nomination process.</p> <p>As this document is not yet available publicly I have attached a copy of the document for your review in case you find it useful. (attached in PDF of comments)</p>		<p>consistent with “all applicable Canada Research Chair Program requirements”. The Committee believes that this clause will take into account the Canada Research Chairs Equity, Diversity and Inclusion Action Plan as well as any future Canada Research Chair Program advertising requirements without having to modify the Procedures to the Policy for each change to the Canada Research Chair Program requirements.</p> <p>The Committee also discussed whether some of the “best practices” identified in the Canada Research Program Chair document should be incorporated into Policy #20 or its Procedures. The Committee determined that “best practices” regarding advertising requirements should be located on websites or guidelines outside of the Policy and Procedures to ensure that these best practices may be updated continuously.</p>
3	<p>From Sara-Jane Finlay, Associate Vice President, Equity & Inclusion</p> <p><u>General Principles and Posting and Advertising Requirements</u></p> <p>The EIO would note the importance of appropriate recruitment strategies that are designed to diversify recruitment pools through the inclusion of diversity as a key criteria in searches, and consultation with the Senior Advisor to the Provost on Women Faculty or the</p>	Policy section 2.1, Procedures section 2	The Committee agreed with Ms. Finlay's comment that there should be a statement linking diversity to excellence in section 2.1 of the Policy. The Committee amended the first sentence of section 2.1 of the Policy to include the phrase: “Recognizing that a diverse range of perspectives

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
	<p>Associate Vice President, Equity & Inclusion in designing these strategies. Finally, while we appreciate the reference in 2.1 of the General Principles to proactively attract a broad and diverse pool of qualified applicants, we would suggest that consideration should be given to an explicit linking of diversity to excellence in all searches.</p> <p><u>Procedures, para 2. University Equity Statement</u></p> <p>I had the opportunity to meet with colleagues in my office and from HR and we would like to propose a change to the current equity statement. We have shared this with Lisa Castle and she is in support of this change.</p> <p>We reviewed a number of equity statements at universities across Canada and feel that the statement proposed below provides better alignment with our values and with our aspirations as an institution:-</p> <p>UBC embraces equity and diversity as integral to our academic mission. We encourage and support participation of the widest range of perspectives in our exploration and exchange of knowledge and ideas. An essential component of academic excellence is a truly open and diverse community that actively fosters the inclusion of voices that have been underrepresented or excluded. We encourage applications from members of groups that have historically been marginalized, based on their sex, sexual orientation, gender identity or gender expression, racialization, disability, and/or status as a First Nation, Metis, Inuit or indigenous person.</p>		<p>contributes to excellence, where..."</p> <p>The Committee considered the equity statement proposed by Ms. Finlay and concluded, from a pragmatic point of view, that the equity statement proposed is longer than the previous version. The Committee wished to preserve the essence of the new language proposed by Ms. Finlay, but wished to shorten the equity statement significantly. A shorter equity statement allows for both prominent and cost-effective inclusion in web and print advertising, particularly if UBC is paying by the word.</p> <p>Upon further consultation with Ms. Finlay, the Committee amended the equity statement in section 2.1 of the Procedures to the Policy as follows:</p> <p>Equity and diversity are essential to academic excellence. An open and diverse community fosters the inclusion of voices that have been underrepresented or discouraged. We encourage applications from members of groups that have been marginalized based on their sex, sexual orientation, identity or gender expression, racialization, disability, and/or status as a First Nation, Metis, Inuit or indigenous person.</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
			<p>The Committee recommended that the Office of the University Counsel ask for further comments from the Vice President, Human Resources, and the Deans and Department Heads regarding the language of such statement of general principles in section 2.1 and the revised equity statement. However, the Committee did not recommend that the Office of the University Counsel undertake further consultation with the whole of the UBC community.</p>
4	<p>From Amanda Grenier, Assistant Manager, Faculty HR, Faculty of Medicine</p> <p><u>Section 3.1.9</u></p> <ol style="list-style-type: none"> 1. This section previously only referred to staff roles – does this now include faculty administrative roles as well? (For example: Assistant Deans, Associate Deans, Regional Associate Deans, Centre Directors, Program Directors, Executive Associate Deans, Division Heads, and all other roles appointed as Academic Administrators or Clinical Administrators) Is the term “Employment Agreements” meant to refer to various collective agreements or used to refer to a contract or offer of employment? Since these roles would be concurrent with a faculty appointment – would the administrative role itself need to be advertised when the candidate is internal? 2. Does the removal of section 3.3.3 on advertising waivers (in the case of an administrative appointment of the head of department of director of a school or institute where a well-documented case for 	<p>Policy section 3.1.9; 5.2.1 and 5.2.4; Procedures section 5</p>	<p>The Committee acknowledged that section 3.1.9 of the Policy is broader than the previous version in order to incorporate all available employment positions where a collective agreement, framework agreement or employee handbook requires the available employment position to be advertised. In the case of Assistant Deans, Associate Deans, Regional Associate Deans etc., the position must only be advertised if it creates a new Faculty Member employment position (i.e. if the academic unit wishes to hire an external Assistant Dean, Associate Dean, Regional Associate Dean etc. and that external candidate is required to be a “Faculty Member” as the term is defined in the Policy, then the advertising</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
	<p>an internal appointment has been made to the Responsible Executive) and the above noted reference to employment agreements mean that advertising of department head and school director appointments now falls entirely under the scope of Policy 22 and is not covered under Policy 20?</p> <p><u>Section 5.2.1</u></p> <p>1. If an internal faculty member applies for a CRC and is successful, but is not currently in an eligible rank to hold a CRC – will the unit still need to apply for an ad waiver under this section to transition the faculty member to a tenure stream appointment? Or will the updated requirements for CRC advertisement satisfy this requirement?</p> <p><u>Section 5.2.4</u></p> <p>1. Now that an ad waiver may be requested for an “exceptionally-qualified, internationally-recognized candidate” – will there be any restrictions or further clarification on this? It seems fairly subjective and could describe most tenure stream recruits as they are expected to be exceptionally-qualified and internationally-recognized, especially at the rank of Professor.</p> <p><u>Procedures Section 5 (CRC Advertising)</u></p> <p>1. For retention CRCs, the Faculty of Medicine would have an internal recruitment process that is transparent, open and equitable – would this satisfy the advertising requirements laid out under this section?</p>		<p>requirements of the Policy apply, in the absence of an advertising waiver. However, if the academic unit is seeking an internal candidate who is already a Faculty Member then the advertising requirements will not apply). The advertising requirements may also apply if the available Assistant Dean, Associate Dean, Regional Associate Dean etc. position is required to be advertised in accordance with an applicable collective agreement, framework agreement or employee handbook. However, in almost all cases, the Committee agreed that these roles are appointed by the Deans and are not subject to applicable agreements.</p> <p>The Committee discussed that the Committee removed the language in the previous section 3.3.3 regarding waivers in the case of “an administrative appointment of head of a department where a well-documented case for an internal appointment has been made to the Responsible Executive” because it is not necessary to advertise for an available administrative head of department position in circumstances of internal promotion.</p> <p>The Committee agreed that the</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
			<p>definition of the defined term "Employment Agreement" may be confusing or misleading due to its association with individual employment agreements. The Committee amended the defined term to be called "Employee Group Agreements".</p> <p>The Committee discussed Ms. Grenier's question regarding section 5.2.1 of the Policy and determined that the academic unit would be required to apply for an advertising waiver in the circumstances described by Ms. Grenier because the available employment position would meet the definition of "Faculty Member" within the Policy, and the advertising requirements of the Policy and Procedures would otherwise apply.</p> <p>Canada Research Chair Program requirements may not satisfy the requirements of Policy #20 and the Policy #20 advertising requirements may not satisfy the Canada Research Chair Program requirements in all circumstances. These requirements must be read together.</p> <p>If the Canada Research Chair nominee is already a Faculty Member, then only the Canada Research Chair recruitment process must be satisfied.</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
			<p>If it involves the appointment of a Canada Research Chair nominee to an available Faculty Member position, then an advertising waiver may be required, subject to Canada Research Chair program requirements.</p> <p>The Committee discussed that the amendment to section 5 of the Procedures to the Policy requiring academic units to comply with both Policy #20 and all applicable Canada Research Chair Program requirements addresses Ms. Grenier's questions respecting section 5 of the Procedures.</p> <p>The Committee discussed that the word "exceptionally" in section 5.2.4 of the Policy was chosen with care. The Committee agreed that the term "exceptionally" means achievement above and beyond the achievement normally expected from a Faculty Member. The Committee also agreed that section 5 of the Policy now applies upon recommendation of a Dean, and therefore, both a Dean and the Responsible Executive must approve of an advertising waiver in the case of an exceptionally-qualified, internationally-recognized candidate. The Committee agreed that this will create two levels of evaluation of the criteria, which will prevent frivolous</p>

Policy #20 Review Committee Discussion on Comments from the UBC Community

No.	Comment	Applicable Section(s)	Committee's Response to Comment
			applications for advertising waivers under this subsection of the Policy.

 <p>The University of British Columbia Board of Governors</p>	<p>Policy No.: 20</p>	<p>Approval Date: July 1992</p> <p>Last Revision: [June 2017 anticipated]</p>
	<p>Responsible Executive: Provost and Vice-President, Academic and Provost, UBC Vancouver Provost and Vice Principal, UBC Okanagan Vice-President, Human Resources</p>	
<p>Title: Advertising of Available Employment Positions</p>		
<p>Background & Purposes:</p> <p>This Policy sets out the requirements for posting and advertising available employment positions before selecting a candidate. Publishing available employment positions widely is a key component of the recruitment process as it:</p> <ul style="list-style-type: none"> • Improves UBC’s potential to access the largest pool of exceptionally-qualified candidates for each employment position; • Provides equal opportunity to all who seek employment at UBC; • Provides for a clear and transparent process; and • Satisfies requirements of Employment and Social Development Canada/Service Canada and Immigration, Refugees and Citizenship Canada. 		

1. Definitions

1.1. In this Policy, and in the Procedures to this Policy, the following terms have the following meaning:

1.1.1. “**Administrative Vice-President**” means Vice-Presidents appointed pursuant to Policy #34 (Appointment and Extension of Appointment of Administrative Vice-Presidents);

1.1.2. "**Advertised Positions**" means the list of employment positions set out in section 3.1 of this Policy;

1.1.3. "**Deans**" has the same meaning attributed to the term in Policy #21 (Appointment of Deans and Principals);

1.1.4. “**Designated Senior Academic Administrator**” means senior academic administrators appointed pursuant to Policy #18 (Appointment of Designated Senior Academic Administrators);

1.1.5. “~~Employment~~**Employee Group Agreement**” means an agreement between UBC and ~~an individual employee or~~ a group of employees, represented or not represented by a bargaining unit, that establishes terms and conditions of employment. For greater clarity, an ~~Employment~~**Employee Group Agreement** includes a collective agreement, a framework agreement and an employee handbook issued on behalf of the Director of Faculty Relations or Human Resources Advisory Services for UBC Vancouver or the Director of Human Resources for UBC Okanagan;

- 1.1.6. “**Employment and Social Development Canada**” means Employment and Social Development Canada/Service Canada and Immigration, Refugees and Citizenship Canada;
- 1.1.7. “**Faculty Member**” means a person employed by UBC as a sessional lecturer, lecturer, instructor, senior instructor, professor of teaching, assistant professor, associate professor, professor, or an equivalent position designated by the Senate. For greater certainty, the following are not Faculty Members for the purposes of this Policy:
- 1.1.7.1. retired faculty members appointed in accordance with Policy #27 (Appointment of Retired Faculty Members); and
- 1.1.7.2. holders of visiting appointments; honorary appointments; adjunct appointments; ~~and~~ clinical appointments; and research associates appointed in accordance with Policy #42 (Faculty Term Appointments Without Review);
- 1.1.8. “**Librarian**” means a person employed by UBC as a member of UBC’s professional librarian staff who is appointed in accordance with the collective agreement between UBC and the Faculty Association;
- 1.1.9. “**Principals**” has the same meaning attributed to the term in Policy #21 (Appointment of Deans and Principals);
- 1.1.10. “**Program Director**” means a person employed by UBC on a full-time basis to direct a program or programs in Continuing Studies who is appointed in accordance with the collective agreement between UBC and the Faculty Association; ~~and~~
- 1.1.11. “Research Associates” has the same meaning attributed to the term in Policy #42 (Faculty Term Appointments Without Review); and
- ~~1.1.11.1.1.12.~~ 1.1.12. “**Teaching Staff**” has the same meaning attributed to the term in Policy #25 (Board of Governors Appointments).

2. General Principles

- 2.1. ~~Where~~Recognizing that a diverse range of perspectives contributes to excellence, where academic or administrative units wish to fill one or more employment positions, they are encouraged to use a variety of recruitment strategies and advertising media (including print and electronic) appropriate to the available positions to proactively attract a broad and diverse pool of qualified applicants.
- 2.2. The availability of an Advertised Position must be advertised in accordance with the Procedures to this Policy before ~~an Advertised Position~~it is filled, except as provided for in section 5.1 of this Policy. Advertisements for all other employment positions that may be available at UBC are optional, but academic and administrative units that elect to advertise those available employment positions must do so in a manner that complies, at a minimum, with the posting and advertising requirements set out in section 4 of this Policy.

3. Advertised Positions

- 3.1. The availability of the following employment positions must be advertised before the position is filled:
- 3.1.1. Faculty Members;

- 3.1.2. Designated Senior Academic Administrators;
- 3.1.3. Deans and Principals ~~appointed pursuant to Policy #21 (Appointment of Deans and Principals);~~
- 3.1.4. Administrative Vice-Presidents;
- 3.1.5. the Registrar and the University Librarian appointed pursuant to Policy #17 (Appointment of Registrar and Librarians)
- 3.1.6. Librarians;
- 3.1.7. Program Directors;
- 3.1.8. Research Associates ~~appointed pursuant to Policy #42 (Faculty Term Appointments Without Review);~~; and
- 3.1.9. All other employment positions where posting of the available employment position is required by the applicable ~~Employment~~Employee Group Agreements.

4. Posting and Advertising Requirements

- 4.1. UBC hires on the basis of merit and is strongly committed to equity and diversity within its community. In accordance with Policy #2 (Employment Equity), all position postings and advertisements must include UBC's approved ~~equity~~diversity statement as set forth in the Procedures to this Policy.
- 4.2. ~~Where an academic or administrative unit wishes to conduct an international search to fill~~Before an available employment position can be filled by a foreign candidate, the availability of the employment position must be advertised in compliance with all Employment and Social Development Canada requirements ~~concerning the duration, location, media. Therefore, where it is likely that an available employment position may be successfully filled by a foreign candidate, the academic or administrative unit conducting the search should familiarize itself with Employment and Social Development Canada requirements concerning the duration, location, media,~~ and use of mandatory statements for advertisements.
- 4.3. The availability of employment positions must be advertised in a manner that meets all conditions of any applicable ~~Employment~~Employee Group Agreement.
- 4.4. All advertisements must comply with Policy #94 (Visual Identity).

5. Non-Advertised Positions

- 5.1. Subject to Employment and Social Development Canada and applicable ~~Employment~~Employee Group Agreement requirements, UBC does not require advertisements for the Advertised Positions where:
 - 5.1.1. the Advertised Position is a term appointment that is less than one year in length, provided that where such an existing term ~~appointment less than one year~~ is to be extended beyond one year, the position must be advertised in accordance with the Procedures to this Policy (except if the term appointment less than one year is a sessional lecturer or lecturer, in which case the position must be advertised in accordance with the Procedures to this Policy in all circumstances);

5.1.2. the Advertised Position is an appointment or extension of an appointment of an existing Faculty Member as a Head of Academic Unit in accordance with Policy #22 (Appointments and Extension of Appointments for Heads of Academic Units);

~~5.1.2.~~5.1.3. the Advertised Position is an existing appointment that is being extended in accordance with Policy #23 (Extension of Appointments for Deans), Policy #24 (Extension of Appointments for Designated Senior Academic Administrators), Policy #34 (Appointment and Extension of Appointment of Administrative Vice-Presidents), Policy #43 (Extension of Appointments for Registrar and Librarians); or

~~5.1.3.~~5.1.4. the Responsible Executive has waived UBC's advertising requirement in accordance with section 5.2 of this Policy.

5.2. ~~Subject to Employment and Social Development Canada requirements, in~~ special circumstances, at the request of a Dean or an advisory committee to the President, as applicable, the Responsible Executive may waive UBC's advertising requirements in whole or in part. Special circumstances include, but are not limited to situations where:

5.2.1. UBC has an opportunity to appoint a highly-qualified candidate who is supported by an external program or agency that will wholly or partly fund the initial appointment;

5.2.2. UBC has advertised for one (1) or more available employment positions in accordance with the Procedures to this Policy and has an opportunity to appoint additional candidates that meet the qualifications and criteria specified in the advertisement;

5.2.3. for a dual career appointment, UBC has an opportunity to recruit a candidate or retain a valuable faculty member by appointing the spousal partner to an available employment position, provided the unit to which the spousal partner is to be appointed is supportive of the dual career appointment;

5.2.4. UBC has an opportunity to appoint an exceptionally-qualified, internationally-recognized candidate; and

5.2.5. UBC requires an emergency appointment.

5.3. The Board of Governors may, from time to time, request reports regarding special circumstances where the Responsible Executive has waived UBC's advertising requirement. At least annually, a report of such special circumstances will be attached to the report of Teaching Staff appointments provided to the Board of Governors pursuant to Policy #25 (Board of Governors Appointments).

PROCEDURES

Approved: [June 2017 anticipated]

Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors". Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.

1. Assignment of Responsible Executive

- 1.1. The Responsible Executive will be the Provost and Vice—President Academic, UBC Vancouver, in relation to tenure-stream Faculty Members, Librarians, Program Directors, Deans, and Principals at UBC's Vancouver campus.
- 1.2. The Responsible Executive will be the Provost and Vice Principal, UBC Okanagan, in relation to tenure-stream Faculty Members, Librarians, Program Directors, Deans, and Principals; at UBC's Okanagan campus.
- 1.3. The Responsible Executive in relation to Designated Senior Academic Administrators will be the Responsible Executive designated under Policy #18 (Appointment of Designated Senior Academic Administrators).
- 1.4. The Responsible Executive in relation to Administrative Vice-Presidents will be the Responsible Executive designated under Policy #34 (Appointment and Extension of Appointment of Administrative Vice-Presidents).
- 1.5. The Responsible Executive will be the Vice—President, Human Resources, in relation to ~~research associates and~~ all other employment positions.
- 1.6. Any Responsible Executive may, in writing, delegate the Responsible Executive's authority under this Policy.

2. University ~~Equity Diversity~~ Statement

- 2.1. All postings and advertisements for available employment positions at UBC must include the following equity statement:

~~"UBC hires on the basis of merit and is strongly committed to equity and diversity within its community. We especially welcome applications from visible minority group members, women, Aboriginal persons, persons with disabilities, persons of minority sexual orientations and gender identities, and others with the skills and knowledge to productively engage with diverse communities."~~

"Equity and diversity are essential to academic excellence. An open and diverse community fosters the inclusion of voices that have been underrepresented or discouraged. We encourage applications from members of groups that have been marginalized on any grounds enumerated under the B.C. Human Rights Code, including sex, sexual orientation, gender identity or expression, racialization, disability, political belief, religion, marital or family status, age, and/or status as a First Nation, Metis, Inuit, or Indigenous person."

3. University Advertising Requirements

3.1. Prior authorization to undertake the recruitment process to fill an Advertised Position must be obtained from the Responsible Executive, or their delegate, to ensure that the recruitment is consistent with UBC priorities and budgetary considerations.

3.2. ~~Where an academic or administrative unit wishes to conduct an international search to fill~~Before an Advertised Position can be filled by a foreign candidate, the Advertised Position must be advertised in compliance with the Employment and Social Development Canada advertising requirements set forth in section 4 of these Procedures as well as UBC's advertising requirements set forth in this section. Complying solely with UBC's advertising requirements in this section will not meet the Employment and Social Development Canada advertising requirements in every circumstance. Therefore, where it is likely that an Advertised Position may be successfully filled by a foreign candidate, the academic or administrative unit conducting the search should familiarize itself with Employment and Social Development Canada requirements concerning the duration, location, media, and use of mandatory statements for advertisements.

3.3. The availability of a position as a tenure-stream Faculty Member, Designated Senior Academic Administrator, Dean, Principal, or Administrative Vice-President must be advertised at a minimum:

3.3.1. on the UBC Careers – UBC Human Resources website;

3.3.2. in at least two (2) appropriate publications (print or electronic) with a wide, national readership (e.g. "CAUT Bulletin", "University Affairs"); and

3.3.3. in at least one (1) other venue, journal or publication (print or electronic) relevant to the discipline.

3.4. The availability of a position as a ~~R~~research ~~A~~associate or as a Faculty Member for a term of one year or more in length other than those set forth in Section 3.3 of these Procedures must be advertised on the UBC Careers – UBC Human Resources website and in appropriate publications (print or electronic).

3.5. In addition, the availability of a position as a sessional lecturer or a lecturer must be advertised in accordance with applicable collective agreement provisions.

~~3.5.3.6.~~ All advertising copy for available positions as a tenure-stream Faculty Member must be approved by:

~~3.5.1.3.6.1.~~ the Dean; and

~~3.5.2.3.6.2.~~ the Director of Faculty Relations for UBC Vancouver or the Director, Human Resources, UBC Okanagan, or their delegates, as applicable.

~~3.6.3.7.~~ All advertising copy for available positions as a Designated Senior Academic Administrator, Dean, Principal, or Administrative Vice-President must be approved by the Responsible Executive prior to publication.

~~3.7.3.8.~~ Heads of academic or administrative units are responsible for ensuring that advertising copy for any available position not expressly named in sections 3.6 and 3.7 of these Procedures complies with section 4 of the Policy, and any applicable provision of these Procedures.

~~3.8.3.9.~~ If an available position is not successfully filled and a ~~new~~revised advertisement is required, such as to accommodate adjustments in the position description or ~~in~~ to change ~~in~~ the application deadline, approval for the ~~new~~revised advertising copy must be obtained in accordance with sections 3.6, 3.7, and 3.8 of these Procedures.

4. Employment and Social Development Canada Advertising Requirements

4.1. For ~~research associates~~Research Associates and Faculty Members, Employment and Social Development Canada normally requires that, before a university can hire a foreign candidate, the availability of the employment position must be advertised:

4.1.1. within Canada simultaneously with any advertising outside of Canada;

4.1.2. for a reasonable length of time (about a month) to allow broad exposure of the available employment position to Canadians and permanent residents;

4.1.3. using advertising media that is effective in attracting appropriate candidates for the available position;

4.1.4. with the following statement included in the advertisement:

“All qualified candidates are encouraged to apply; however Canadians and permanent residents will be given priority.”; and

4.1.5. in a manner that meets all conditions of any applicable collective agreement.

4.2. For Designated Senior Academic Administrators, Deans and Principals, and Administrative Vice—Presidents, Employment and Social Development Canada normally requires that, before a university can hire a foreign candidate, the availability of the employment position must be advertised:

4.2.1. within Canada simultaneously with any advertising outside of Canada;

4.2.2. for a minimum of one (1) month on the Government of Canada’s Job Bank or WorkBC;

4.2.3. for a minimum of one (1) month using two (2) or more additional recruitment methods within Canada that are effective in attracting appropriate candidates for the available employment position, including:

4.2.3.1. advertising media that is national in scope;

4.2.3.2. print media;

4.2.3.3. general employment websites; and

4.2.3.4. specialized websites dedicated to specific occupation profiles; and

4.2.4. in a manner that complies with the Employment and Social Development Canada requirements regarding information that must be included in the advertisement.

4.3. Due to the diversity of employment positions at UBC and the various foreign worker programs offered by Employment and Social Development Canada, units where an academic or administrative unit considers

that it is likely that an available employment position may be successfully filled by a foreign candidate, such unit should work with their Human Resources Advisors before proceeding with ~~an international~~ search.

5. Canada Research Chair Position Advertising Requirements

5.1. For each Government of Canada Research Chair nomination, the Canada Research Chairs Program requires the Responsible Executive, or their delegate, to certify that the Canada Research Chair recruitment and nomination process was transparent, open and equitable (whether the Canada Research Chair position is used to retain current researchers or to recruit new researchers to UBC). Academic units seeking to recruit or nominate a Canada Research Chair position should work with ~~their Faculty Relations or Human Resources Advisors~~the Canada Research Chair Secretariat, Office of the Provost and Vice-President Academic to ensure that the availability of the Canada Research Chair position is advertised in a manner consistent with:

5.1.1. the principles embodied in the Policy and these Procedures;

5.1.2. any applicable ~~Employment~~Employee Group Agreements; ~~and~~

5.1.3. the Canada Research Chairs Program guidelines for ensuring a fair and transparent recruitment and nomination process~~;~~ and

5.1.4. all applicable Canada Research Chairs Program requirements.



SUBJECT	POLICY 18 – APPOINTMENT OF DESIGNATED SENIOR ACADEMIC ADMINISTRATORS AND POLICY 24 –EXTENSION OF APPOINTMENTS FOR DESIGNATED SENIOR ACADEMIC ADMINISTRATORS
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MEETING DATE	JUNE 15, 2017
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Forwarded to the Board of Governors on the Recommendation of the President

APPROVED FOR SUBMISSION

Santa J. Ono, President and Vice-Chancellor

DECISION REQUESTED	IT IS HEREBY REQUESTED that <i>the UBC Board of Governors approve the proposed amendment to Policy #18 (Appointment of Designated Senior Academic Administrators) and associated Procedures and the proposed amendment to Policy #24 (Extension of Appointments for Designated Senior Academic Administrators) and associated Procedures, effective June 15, 2017.</i>
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Report Date	May 16, 2017
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Presented By Hubert Lai, Q.C., University Counsel

EXECUTIVE SUMMARY

Policy #18 is the joint Board of Governors, Okanagan Senate and Vancouver Senate policy that governs the process for appointing designated senior academic administrators. Policy #24 is the Board of Governors policy that governs the process for extending appointment of incumbent designated senior academic administrators. Effective December 5, 2016, President Santa Ono approved amendments to the Procedures to Policy #18. Following these amendments, effective January 10, 2017, President Ono approved amendments to the Procedures to Policy #24.

Amendments to the Procedures to Policy #18 and #24 were necessary to reflect the new position of Vice-Provost, International. This new role brings together and oversees UBC’s internationally focused units. The new position of Vice-Provost, International realigns UBC’s international functions and removes those functions from the existing Vice-President Research and International portfolio. The proposed consequential amendment of Policy #18 and associated Procedures, and Policy #24 and associated Procedures reflects the amendment of the existing Vice-President Research and International portfolio to the portfolio of Vice-President, Research and Innovation.

<p><i>If this item was previously presented to the Board, please provide a brief description of any major changes since that time.</i></p>	<p>Approved amendments to the Procedures to Policy #18 and Policy #24 were presented to the Board of Governors for information at its meeting on February 14, 2017. The amendments to the Procedures to Policy #18 and Policy #24 were necessary to reflect the new position of Vice-Provost, International. The proposed amendment to Policy #18 and Policy #24 reflects the amendment of the Vice-President, Research and International portfolio to Vice-President, Research and Innovation, following realignment of UBC’s international functions.</p>
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INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED

- Learning
 Research
 Innovation
 Engagement
 International
 (Internal / External)
- or Operational

DESCRIPTION & RATIONALE

Policy #18 is the joint Board of Governors, Okanagan Senate and Vancouver Senate policy that governs the process for appointing designated senior academic administrators. Policy #24 is the Board of Governors policy that governs the process for extending the appointment of incumbent designated senior academic administrators.

The position of Vice-Provost, International was created in December, 2016. The Procedures to Policy #18 were amended to provide for the process to appoint the Vice-Provost, International. Correspondingly, the Procedures to Policy #24 were amended to provide for the process to extend the appointment of the Vice-Provost, International, once an incumbent is appointed.

Since then, the previous existing Vice-President Research and International title has been changed to Vice-President, Research and Innovation. Accordingly, the Office of the University Counsel recommends consequential amendments of Policy #18 and associated Procedures and Policy #24 and associated Procedures to reflect the new title.

The key proposed amendment to Policy #18 is:

- to amend the defined term “Designated Senior Academic Administrators” in the Schedule to Policy #18, and to replace the word “International” with the word “Innovation” in the Vice-President, Research and International position title.

The key proposed amendments to Policy #24 are:

- to amend section 3.1 of the Policy and to replace the word “International” with the word “Innovation” in the Vice-President, Research and International position title; and
- to amend the defined term “Designated Senior Academic Administrators” in the Schedule to Policy #24, and to replace the word “International” with the word “Innovation” in the Vice-President, Research and International position title.

Other proposed amendments to the Procedures to Policy #18 and the Procedures to Policy #24 are to replace the word “International” with the word

“Innovation” in the Vice-President, Research and International position title where it is referenced:

- either to convene an advisory committee to inform the selection or extension of appointment process for the Vice-President, Research and Innovation, or
- where the Vice-President, Research and Innovation is included as a member of the required advisory committee for selection or extension of appointment process for designated senior academic administrators.

In addition, the proposed amendments to Policy #18 and Policy #24 and associated Procedures will include corrections to “Vice-President” where that term is used inconsistently without a hyphen.

<p>BENEFITS Learning, Research, Financial, Sustainability & Reputational</p>	<p>The proposed consequential amendments of Policy #18 and Policy #24 will create consistency between the Policies and the current organizational structure of the University.</p>
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<p>CONSULTATION Relevant Units, Internal & External Constituencies</p>	<p>No substantive changes are being recommended to Policy #18 and its associated Procedures or to Policy #24 and its associated Procedures. The proposed amendments are consequential to the organizational structure of the University. Therefore, the Office of the University Counsel has not constituted a Policy Review Committee to consider the proposed consequential amendments.</p>
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Additional Materials

The following materials are attached:

1. A blackline comparing the amended Policy #18 and Procedures to the previous Policy and Procedures.
2. A blackline comparing the amended Policy #24 and Procedures to the previous Policy and Procedures.

A copy of the current Policy 18 and Procedures is available at <http://universitycounsel.ubc.ca/files/2017/01/policy18.pdf>.

A copy of the current Policy 24 and Procedures is available at <http://universitycounsel.ubc.ca/files/2016/12/policy24.pdf>.

Previous Report Date	February 14, 2017
Decision	Amendments to the Procedures to Policy #18 and Policy #24 were presented to the Board of Governors for information.

 <p>The University of British Columbia Board of Governors Okanagan Senate Vancouver Senate</p>	<p>Policy No.:</p> <p>18</p>	<p>Approval Dates:</p> <ul style="list-style-type: none"> • UBCV Senate May 14, 2008 • UBCO Senate May 15, 2008 • Board June 5, 2008 <p>Last Revision:</p> <ul style="list-style-type: none"> • UBCO Senate January 25, 2012 [September, 2017 anticipated] • Board February 3, 2012[June, 2017 anticipated] • UBCV Senate February 15, 2012 [September, 2017 anticipated]
	<p>Responsible Executive: President</p>	
<p>Title:</p> <p style="text-align: center;">Appointment of Designated Senior Academic Administrators (Joint Senate and Board Policy)</p>		
<p>Background & Purpose:</p> <p>Section 27(2)(f) of the University Act, R.S.B.C. 1996 c. 468 empowers the Board of Governors, with the approval of the UBC Okanagan Senate and the UBC Vancouver Senate, to establish procedures for the recommendation and selection of candidates for senior academic administrators.</p> <p>For extensions and acting appointments, please refer to Policy No.24 (Extension of Appointments for Designated Senior Academic Administrators).</p>		

1. Definitions and Interpretation Rules

1.1 A schedule to this Policy establishes the definitions of terms used in this Policy and any unique rules of interpretation that apply to this Policy.

2. Scope

2.1 This Policy applies to all appointments of *Designated Senior Academic Administrators*.

2.2 Currently, the President of the University holds the title of Deputy Vice-Chancellor for UBC Vancouver and the Vice-President, Academic and Research (UBC Okanagan) holds the title of Deputy Vice-Chancellor and Principal for UBC Okanagan. If at some point in the future, it is determined that the position of Deputy Vice-Chancellor is to be held by a person other than the

President in the case of UBC Vancouver or the Vice-President, Academic and Research (UBC Okanagan) in the case of UBC Okanagan, the process for dealing with appointments for the Deputy Vice-Chancellor and Principal (UBC Okanagan) or the Deputy Vice-Chancellor (UBC Vancouver) as set out in this Policy and any associated Procedures will apply. However, unless and until such a determination is made, the normal selection process for the President or for the Vice-President, Academic and Research (UBC Okanagan), as applicable, will be applied.

3. Selection of Candidates

- 3.1 For the selection of candidates for *Designated Senior Academic Administrators*, the President shall convene an *Advisory Committee* as described in the Procedures and will consider the advice of the *Advisory Committee* in making a recommendation to the Board of Governors.

- 3.2 The President's recommendation, which may include recommended terms and conditions of the appointment, will be considered by the Board of Governors which must approve the appointment and has the authority to establish the terms and conditions for any such appointment.

4. Procedures Not to Conflict

- 4.1 Provided that they are not in conflict with this Policy, the Procedures associated with this Policy may be created and amended in the same way as the Procedures associated with any other Policy passed by the Board of Governors.

Schedule to Policy #18
Definitions and Other Interpretation Rules

1. Definitions

In Policy #18 – Appointment of Designated Senior Academic Administrators (Joint Senate and Board Policy), the following terms have the meaning defined below, and shall have the same meaning in any Procedures associated with that Policy:

- a. ***“Academic Associate Vice-Presidents”*** means the positions designated as such by the President, from time to time, in the Procedures associated with this Policy.
- b. ***“Academic Vice-Presidents”*** means the following:
 1. Provost and Vice-President Academic (UBC Vancouver); and
 2. Vice-President, Academic and Research (UBC Okanagan).
- c. ***“Advisory Committee”*** means an advisory committee to the President as defined in Article 2 in the Procedures associated with this Policy.
- d. ***“Deans”*** means:
 1. the Deans of UBC Okanagan Faculties;
 2. the Deans of UBC Vancouver Faculties;
 3. the Deans of Dual-Campus Faculties.
- e. ***“Designated Senior Academic Administrators”*** means the following:
 1. Deputy Vice-Chancellor and Principal (UBC Okanagan);
 2. Deputy Vice-Chancellor (UBC Vancouver);
 3. ***Academic Vice-Presidents***;
 4. Vice-President, Research and ***International Innovation***; and
 5. ***Academic Associate Vice-Presidents***.
- f. ***“Dual-Campus Faculty”*** has the same meaning attributed to it in resolutions passed by the Board of Governors on June 3, 2005. [Note: As at July 1, 2005, the sole Dual-Campus Faculty was the Faculty of Applied Science.]
- g. ***“Responsible Executive”*** means:
 1. individual(s) assigned by the President, from time to time, to be responsible for this Policy and any associated Procedures; and
 2. any sub-delegate of that assigned responsible individual(s) except to the extent that the power to delegate is specifically excluded in this Policy or in the appointment by the President.
- h. ***“Principals”*** means:
 1. the Principal of the College of Health Disciplines; and
 2. the Principal of the College for Interdisciplinary Studies.
- i. ***“UBC Okanagan Faculty”*** has the same meaning attributed to the term "Faculty of UBC Okanagan" in resolutions passed by the Board of Governors on June 3, 2005. [Note: as at July 1, 2005, the UBC Okanagan Faculties were the Faculty of Arts and Sciences (now known as the Irving K. Barber School of Arts and Sciences), the Faculty of Creative and Critical

Studies, the Faculty of Education, the Faculty of Health and Social Development, and the Faculty of Management.]

- j. ***“UBC Vancouver Faculty”*** has the same meaning attributed to the term "Faculty of UBC Vancouver" in resolutions passed by the Board of Governors on June 3, 2005. [Note: as at July 1, 2005, the UBC Vancouver Faculties were the Faculty of Arts, the Faculty of Commerce and Business Administration (now known as the Sauder School of Business), the Faculty of Dentistry, the Faculty of Education, the Faculty of Forestry, the Faculty of Graduate Studies, the Faculty of Land and Food Systems, the Faculty of Law, the Faculty of Medicine, the Faculty of Pharmaceutical Sciences, and the Faculty of Science].

PROCEDURES

Approved: June 5, 2008

Revised: ~~December 5, 2016~~ June, 2017 anticipated

Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors." Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.

1. Academic Associate Vice-Presidents

1.1 The following individuals are designated as *Academic Associate Vice-Presidents*:

1.1.1 Associate Vice-President, Research;

1.1.2 Vice-Provost, International;

1.1.3 Provost and Vice-Principal (Academic) (UBC Okanagan);

1.1.4 Vice-Principal (Research and Innovation) (UBC Okanagan);

1.1.5 Deputy Provost (UBC Vancouver);

1.1.6 Vice-Provost, Graduate and Postdoctoral Studies (UBC Vancouver);

1.1.7 Vice-Provost and Associate Vice-President, Academic (UBC Vancouver); and

1.1.8 Vice-Provost and Associate Vice-President, Enrolment and Academic Facilities (UBC Vancouver).

1.2 Currently, the Dean of the Faculty of Graduate and Postdoctoral Studies holds the title of Vice-Provost Graduate and Postdoctoral Studies (UBC Vancouver). Where a Vice-Provost concurrently holds the position of Dean of a Faculty, the normal selection process for a Dean will be applied. If, at some point in the future, it is determined that the position of Vice-Provost Graduate and Postdoctoral Studies (UBC Vancouver) is to be held by a person other than the Dean of the Faculty of Graduate and Postdoctoral Studies, the appointment process for *Academic Associate Vice-Presidents* will be applied.

2. Advisory Committee for the Appointments

2.1 For the *Deputy Vice-Chancellor and Principal (UBC Okanagan)* or the *Deputy Vice-Chancellor (UBC Vancouver)*, the President will convene an *Advisory Committee* with the following membership:

For the Deputy Vice-Chancellor and Principal for UBC Okanagan or the Deputy Vice-Chancellor for UBC Vancouver			
Position	#	Source/Composition	Selected by:
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair

Members	3	Persons appointed by the Chair from the members of the Board of Governors	Chair
	1	Person selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable	Senate
	3	Persons selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members or students from UBC Okanagan or UBC Vancouver, as applicable	Senate
	1	Student elected by and from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Students
	Up to 2	Associate Vice-Presidents or Directors of units within the portfolio of the Deputy Vice-Chancellor as the Chair may choose to appoint	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair
	N/A	One person selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable, for every Additional Member appointed by the Chair	Senate
	N/A	One student elected by and from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable, for every two Additional Members appointed by the Chair	Students

2.2 For the selection of an *Academic Vice-President*, the President will convene an *Advisory Committee* with the following membership:

For the Academic Vice-Presidents			
Position	#	Source/Composition	Selected by:
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	4	Persons appointed by the Chair from the members of the Board of Governors, at least one of whom must be a faculty member	Chair
	1	Person selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable	Senate
	2	Persons selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members or students from UBC Okanagan or UBC Vancouver, as applicable	Senate
	1	Dean or Principal selected by and from the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable	Senate
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Students

	1	Student elected by and from the undergraduate students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Students
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair
	N/A	One person selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable, for every two Additional Members appointed by the Chair	Senate
	N/A	One student elected by and from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable, for every two Additional Members appointed by the Chair	Students

2.3 For the selection of the Vice President, Research ~~& International~~ Innovation, the President will convene an *Advisory Committee* with the following membership:

For the Vice-President, Research & International <u>Innovation</u>			
Position	#	Source/Composition	Selected by:
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	3	Persons appointed by the Chair from the members of the Board of Governors	Chair
	1	Person selected by the UBC Okanagan Senate from the faculty members from UBC Okanagan	Senate
	1	Person selected by the UBC Okanagan Senate from the faculty members or students from UBC Okanagan.	Senate
	1	Person selected by the UBC Vancouver Senate from the faculty members from UBC Vancouver	Senate
	1	Person selected by the UBC Vancouver Senate from the faculty members or students from UBC Vancouver	Senate
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Okanagan	Students
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Vancouver	Students
	Up to 2	Associate Vice-Presidents or Directors of units within the portfolio of the Vice-President, Research & International <u>Innovation</u> as the Chair may choose to appoint	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair
	N/A	One faculty member selected by the Chair and Members of the <i>Advisory Committee</i> (for clarity, not including the Additional Members) for every two Additional Members appointed by the Chair	Chair and Members of <i>Advisory Committee</i>

	N/A	One student elected by and from the graduate students registered in a degree or diploma program at either UBC Okanagan or UBC Vancouver for every two Additional Members appointed by the Chair	Students
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2.4 For the selection of an *Academic Associate Vice-President*, the President will convene an *Advisory Committee* with the following membership:

For the Academic Associate Vice-Presidents other than the Associate Vice-President, Research and the Vice-Provost, International			
Position	#	Source/Composition	Selected by:
Chair	1	The <i>Academic Vice-President</i> to whom the <i>Academic Associate Vice-President</i> will report	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	3	Persons appointed by the President, at least one of whom must be a faculty member	President
	1	Person selected by UBC Okanagan Senate or UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable	Senate
	3	Persons selected by UBC Okanagan Senate or UBC Vancouver Senate, as applicable, from the faculty members or students from UBC Okanagan or UBC Vancouver, as applicable	Senate
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Students
	1	Student elected by and from the undergraduate students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Students
Additional Members	N/A	Such other person(s) as the President may choose to appoint	President
	N/A	One person selected by the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, from the faculty members from UBC Okanagan or UBC Vancouver, as applicable, for every Additional Member appointed by the President	Senate
	N/A	One student elected by and from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable, for every two Additional Members appointed by the President	Students

For the Associate Vice-President, Research			
Position	#	Source/Composition	Selected by:
Chair	1	The Vice-President, Research & International <u>Innovation</u>	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	3	Persons appointed by the President, at least 1 of whom is a staff member from within the portfolio of the Vice-President, Research & International <u>Innovation</u>	President
	1	Person selected by the UBC Okanagan Senate from the faculty members from UBC Okanagan	Senate
	1	Person selected by the UBC Okanagan Senate from the faculty members or students from UBC Okanagan	Senate
	1	Person selected by the UBC Vancouver Senate from the faculty members from UBC Vancouver	Senate
	1	Person selected by the UBC Vancouver Senate from the faculty members or students from UBC Vancouver	Senate
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Okanagan	Students
	1	Student elected by and from the graduate students registered in a degree or diploma program at UBC Vancouver	Students
Additional Members	N/A	Such other person(s) as the President may choose to appoint	President
	N/A	One faculty member selected by the Chair and Members of the Advisory Committee (for clarity, not including the Additional Members) for every two Additional Members appointed by the President	Chair and Members of Advisory Committee
	N/A	One student elected by and from the graduate students registered in a degree or diploma program at either UBC Okanagan or UBC Vancouver for every two Additional Members appointed by the President	Students

For the Vice-Provost, International			
Position	#	Source/Composition	Selected by:
Chair	1	The Provost and Vice-President Academic (UBC Vancouver)	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	1	Provost and Vice-Principal (<u>Academic</u>) (UBC Okanagan)	Ex Officio
	3	Persons appointed by the President, at least 1 of whom is a staff member from within the portfolio of the Provost and Vice-President Academic (UBC Vancouver)	President
	1	Person selected by the UBC Okanagan Senate from the faculty members from UBC Okanagan	Senate
	1	Person selected by the UBC Okanagan Senate from the faculty members or students from UBC Okanagan	Senate
	2	Persons selected by the UBC Vancouver Senate from the faculty members from UBC Vancouver	Senate

	1	Person selected by the UBC Vancouver Senate from the faculty members or students from UBC Vancouver	Senate
	1	Student registered in a degree or diploma program at UBC Okanagan selected by the Board of Directors of the Student Union of UBC Okanagan	UBCSUO Board of Directors
	1	Student registered in a degree or diploma program at UBC Vancouver selected by the Council of the Alma Mater Society of the University of British Columbia	AMS Council
Additional Members	N/A	Such other person(s) as the President may choose to appoint	President
	N/A	One faculty member selected by the Chair and Members of the <i>Advisory Committee</i> (for clarity, not including the Additional Members) for every two Additional Members appointed by the President	Chair and Members of <i>Advisory Committee</i>
	N/A	One student registered in a degree or diploma program at either UBC Okanagan or UBC Vancouver selected by the Chair and Members of the <i>Advisory Committee</i> (for clarity, not including the Additional Members) for every two Additional Members appointed by the President	Chair and Members of <i>Advisory Committee</i>

- 2.5 The Chair of the *Advisory Committee* for the selection of an *Academic Associate Vice-President* must consult with the President before confirming the composition of the *Advisory Committee*.
- 2.6 **Student Member Elections:** For student members, the nominations and the elections are to be conducted in accordance with procedures satisfactory to the Registrar. The Registrar may authorize a student society to conduct the nominations and/or elections processes on his or her behalf.
- 2.7 **Senate Selections:** For a Senate selection, the selection process is to be conducted in accordance with procedures satisfactory to the relevant Senate. Without limiting the generality of the foregoing, the Senate may authorize a committee (such as, for example, the Nominating Committee) to conduct the process or to simply make the selections.

3. Replacement of Advisory Committee Members

- 3.1 **Vacancy or Inability to Participate:** If a member of an *Advisory Committee* becomes unwilling or unable to serve as a member of the *Advisory Committee* before it has completed its work, the Chair, in consultation with the President, may appoint a replacement member. While the replacement member may be any person whose participation is expected to contribute significantly to the *Advisory Committee*'s activities, the usual practice is for the replacement member to be from the same stakeholder group as the person being replaced.
- 3.2 **Student Status:** If a student member of an *Advisory Committee* ceases to be a student at the University but remains willing and able to continue to serve as a member of the *Advisory Committee*, the Chair, in consultation with the President, may permit the student to continue to serve or may appoint a replacement student member. Any such replacement student must meet the same eligibility requirements as the student who is being replaced. For example, if the student being replaced is a graduate student selected from the graduate students associated with a specific campus, the replacement student will be appointed from the graduate students associated with that campus.
- 3.3 If a replacement member is not appointed, the *Advisory Committee* may complete its work notwithstanding the vacancy.

4. Procedure for Advisory Committee

- 4.1 The Chair of the Advisory Committee will be responsible for calling meetings.
- 4.2 Meetings may be held face-to-face, via telephone conference, video conference or any means determined by the Chair of the Advisory Committee.
- 4.3 The quorum required to transact business at meetings will be a majority of the members of the Advisory Committee unless otherwise determined by the Chair.

5. Customary Practices: In making appointments to an *Advisory Committee*, including replacement appointments under Article 3 of these Procedures, the President will endeavour to provide for a diverse and balanced *Advisory Committee*.

6. Term and Remuneration

- 6.1 The form and amount of remuneration of *Designated Senior Academic Administrators* must be established and documented in writing at or before the effective date of the appointment.
- 6.2 Designated Senior Academic Administrators may be appointed for terms of up to five years.

7. Responsible Executive

- 7.1 **Appointment:** The individual responsible for Policy #18 and these associated Procedures is the President.
- 7.2 **Sub-Delegation:** The Responsible Executive is not limited in sub-delegation of the duties hereunder but remains responsible for oversight.

8. Administrative Leaves

- 8.1 As part of the terms of an appointment, a *Designated Senior Academic Administrator* may be granted an administrative leave, to be taken at the conclusion of the appointment, provided, however that any such grant of administrative leave as well as any remuneration and/or benefits to be received by the *Designated Senior Academic Administrator* during any such administrative leave must be documented in writing at or before the effective date of the appointment.
- 8.2 Recognizing that administrative leave is intended to provide for a reasonable period of time for senior administrators who are returning to the academic ranks to focus on their scholarly and professional activities and to re-integrate with their disciplines before they resume their regular duties as faculty members, administrative leave will only be granted to the *Designated Senior Academic Administrator* if he or she holds a tenured appointment and actually returns to active duty as a faculty member for at least one year immediately after the period of the administrative leave.
- 8.3 If an administrative leave is granted, time served as a *Designated Senior Academic Administrator* and time taken on administrative leave will not be included in the years of service for the purpose of calculating study leave.
- 8.4 During the period of administrative leave, the faculty member continues to be a full-time employee of the University, and is required to comply with the University's policies and procedures.

- 8.5 Any arrangements with respect to administrative leave for a *Designated Senior Academic Administrator* that were established and documented in writing prior to May 1, 2008 will not be affected by these Procedures.
- 8.6 Any deviations from the Articles of these Procedures dealing with administrative leave may only be made with the written approval of the President.

 <p>The University of British Columbia Board of Governors</p>	<p>Policy No.:</p> <p style="text-align: center;">24</p>	<p>Approval Date: November 1991</p> <p>Last Revision: December 2016 <u>June 2017</u> <u>anticipated</u></p>
	<p>Responsible Executive: President</p>	
<p>Title: Extension of Appointments for Designated Senior Academic Administrators</p>		
<p>Background and Purpose: To establish procedures for considering the extension of appointments of certain senior academic administrators.</p>		

1. Definitions and Interpretation Rules

1.1. A schedule to this Policy establishes the definitions of terms used in this Policy and any unique rules of interpretation that apply to this Policy.

2. Scope

2.1. This Policy applies to all extensions of appointments of *Designated Senior Academic Administrators*.

2.2. Currently, the President of the University holds the title of Deputy Vice-Chancellor for UBC Vancouver and the Vice-President, Academic and Research (UBC Okanagan) holds the title of Deputy Vice-Chancellor and Principal for UBC Okanagan. If, at some point in the future, it is determined that the position of Deputy Vice-Chancellor is to be held by a person other than the President in the case of UBC Vancouver or the Vice-President, Academic and Research (UBC Okanagan) in the case of UBC Okanagan, the process for dealing with extensions of appointments for the Deputy Vice-Chancellor and Principal (UBC Okanagan) or the Deputy Vice-Chancellor (UBC Vancouver) as set out in this Policy and any associated Procedures will apply. However, unless and until such a determination is made, the normal selection process for the President or for the Vice-President, Academic and Research (UBC Okanagan), as applicable, will be applied.

3. Stages

3.1. Where the appointment of the Deputy Vice-Chancellor and Principal (UBC Okanagan), the Deputy Vice-Chancellor (UBC Vancouver), an *Academic Vice-President*, or the Vice-President, Research and International Innovation is approaching expiration, the President will ascertain whether the incumbent wishes to continue in the position beyond the expiration of his or her current appointment.

- 3.2. Where an *Academic Associate Vice-President's* appointment is approaching expiration, his or her *Academic Vice-President* will:
 - 3.2.1. ascertain whether the incumbent wishes to continue in the position beyond the expiration of his or her current appointment; and
 - 3.2.2. make a recommendation to the President as to whether it would be desirable to consider extending the incumbent's appointment, and any terms and conditions, if any, of any such extension.
- 3.3. If the incumbent and the President wish to consider extending the appointment, the President will convene an *Advisory Committee* as described in the Procedures and will consider the advice of the *Advisory Committee* in making a recommendation to the Board of Governors.
- 3.4. The President's recommendation, which may include recommended terms and conditions of any extension, will be considered by the Board of Governors, which has the authority to extend the appointment of a *Designated Senior Academic Administrator* and to establish the terms and conditions for any such extension.
- 3.5. If the incumbent does not wish to continue in his or her position beyond the expiration of his or her current term of appointment or if it is determined at any stage that an extension of the term of the incumbent should not be considered, the procedures for the recommendation and selection of candidates for *Designated Senior Academic Administrators* contained in Policy #18 (Appointment of Designated Senior Academic Administrators) will apply.

4. **Pro Tem Appointments**

- 4.1. Notwithstanding anything else in this Policy or anything in Policy #18, the President may designate in writing that an individual, including the incumbent, take on the role of a *Designated Senior Academic Administrator* in a *pro tem* capacity where the incumbent's appointment has ended and a successor has not yet taken office; provided however, that:
 - 4.1.1. any such designation normally shall not be for a period of more than 12 months; and
 - 4.1.2. if successive designations are made, the aggregate length of the designations normally shall not exceed 24 months.
- 4.2. For clarity, the stages outlined in Article 3 of this Policy do not apply to *pro tem* appointments made pursuant to this Article 4 of the Policy.

Schedule to Policy #24
Definitions and Other Interpretation Rules

1. Definitions

In Policy #24 – Extension of Appointments for Designated Senior Academic Administrators, the following terms have the meaning defined below, and shall have the same meaning in any Procedures associated with that Policy:

- a. **“Academic Associate Vice-Presidents”** means the positions designated as such by the President, from time to time, in the Procedures associated with this Policy.
- b. **“Academic Vice-Presidents”** means the following:
 1. Provost and Vice-President Academic (UBC Vancouver); and
 2. Vice-President, Academic and Research (UBC Okanagan).
- c. **“Advisory Committee”** means an advisory committee to the President as defined in Article 2 in the Procedures associated with this Policy.
- d. **“Deans”** means:
 1. the Deans of UBC Okanagan Faculties;
 2. the Deans of UBC Vancouver Faculties; and
 3. the Deans of Dual-Campus Faculties.
- e. **“Designated Senior Academic Administrators”** means the following:
 1. Deputy Vice-Chancellor and Principal (UBC Okanagan);
 2. Deputy Vice-Chancellor (UBC Vancouver);
 3. **Academic Vice-Presidents**;
 4. Vice-President, Research and International Innovation; and
 5. **Academic Associate Vice-Presidents**.
- f. **“Dual-Campus Faculty”** has the same meaning attributed to it in resolutions passed by the Board of Governors on June 3, 2005. [Note: As at July 1, 2005, the sole Dual-Campus Faculty was the Faculty of Applied Science.]
- g. **“Principals”** means:
 1. the Principal of the College of Health Disciplines; and
 2. the Principal of the College for Interdisciplinary Studies.

- h. ***“UBC Okanagan Faculty”*** has the same meaning attributed to the term “Faculty of UBC Okanagan” in resolutions passed by the Board of Governors on June 3, 2005. [Note: As at July 1, 2005, the UBC Okanagan Faculties were the Faculty of Arts and Sciences (now known as the Irving K. Barber School of Arts and Sciences), the Faculty of Creative and Critical Studies, the Faculty of Education, the Faculty of Health and Social Development, and the Faculty of Management.]

- i. ***“UBC Vancouver Faculty”*** has the same meaning attributed to the term “Faculty of UBC Vancouver” in resolutions passed by the Board of Governors on June 3, 2005. [Note: As at July 1, 2005, the UBC Vancouver Faculties were the Faculty of Arts, the Faculty of Commerce and Business Administration (now known as the Sauder School of Business), the Faculty of Dentistry, the Faculty of Education, the Faculty of Forestry, the Faculty of Graduate Studies, the Faculty of Land and Food Systems, the Faculty of Law, the Faculty of Medicine, the Faculty of Pharmaceutical Sciences, and the Faculty of Science].

PROCEDURES

Approved: November 2010

Revised: ~~January 10~~ June, 2017 **anticipated**

Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors". Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.

1. Academic Associate Vice-Presidents

1.1. The following individuals are designated as *Academic Associate Vice-Presidents*:

1.1.1. Associate Vice-~~President~~, Research;

1.1.2. Vice-Provost, International;

1.1.3. Provost and Vice-~~Principal~~ (Academic) (UBC Okanagan);

1.1.4. Vice-~~Principal~~ (Research and Innovation) (UBC Okanagan);

1.1.5. Deputy Provost (UBC Vancouver);

1.1.6. Vice-Provost Graduate and Postdoctoral Studies (UBC Vancouver);

1.1.7. Vice-Provost and Associate Vice-President, Academic (UBC Vancouver); and

1.1.8. Vice-Provost and Associate Vice-President, Enrolment and Academic Facilities (UBC Vancouver).

1.2. Currently, the Dean of the Faculty of Graduate and Postdoctoral Studies holds the title of Vice-Provost Graduate and Postdoctoral Studies (UBC Vancouver). Where a Vice-Provost concurrently holds the position of Dean of a Faculty, the normal extension of appointment process for a Dean will be applied. If, at some point in the future, it is determined that the position of Vice-Provost Graduate and Postdoctoral Studies (UBC Vancouver) is to be held by a person other than the Dean of the Faculty of Graduate and Postdoctoral Studies, the extension of appointment process for *Academic Associate Vice-~~President~~* will be applied.

2. Advisory Committees for the Extension of the Appointments

2.1. The incumbent will provide the *Advisory Committee* with a report of accomplishments and challenges for review. The *Advisory Committee* will issue a public call for comments from the University community and consult with a broad range of the incumbent's constituents, including: direct reports, peers, immediate colleagues, relevant members of the University Executive Committee, external organizations with whom the incumbent would normally interact, and the broader community. The mandate of the *Advisory Committee* will be to advise the President on extension of the incumbent's appointment, taking into consideration: the incumbent's report; comments received from the University community; and the consultation with the incumbent's constituents. The *Advisory Committee* may also advise the President on matters of future priorities for the portfolio.

- 2.2. For the Deputy Vice-Chancellor and Principal (UBC Okanagan) or the Deputy Vice-Chancellor (UBC Vancouver), the President will convene an *Advisory Committee* with the following membership:

For the Deputy Vice-Chancellor and Principal for UBC Okanagan or the Deputy Vice-Chancellor for UBC Vancouver			
Position	#	Source/Composition	Appointed by
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	1	Person appointed by the Chair from the members of the Board of Governors	Chair
	2	Persons selected by and from the UBC Okanagan Senate or the UBC Vancouver Senate (as applicable), at least one of whom must be a faculty member	Senate
	1	Associate Vice-President or Director appointed by the Chair from within the portfolio	Chair
	1	Student appointed by the Chair from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair

- 2.3. For the *Academic Vice-Presidents*, the President will convene an *Advisory Committee* with the following membership:

For the Academic Vice-Presidents			
Position	#	Source/Composition	Appointed by
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of the President *(non-voting and not counted in quorum)	Chair
Members	2	Persons appointed by the Chair from the members of the Board of Governors, at least one of whom must be a faculty member	Chair
	2	Persons selected by and from the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable, at least one of whom must be a faculty member	Senate
	1	Dean or Principal selected by and from the UBC Okanagan Senate or the UBC Vancouver Senate, as applicable	Senate
	1	Member of staff selected from UBC Okanagan or UBC Vancouver by the Chair, as applicable	Chair
	1	Student appointed by the Chair from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair

- 2.4. For the Vice-President, Research and ~~International Innovation~~, the President will convene an *Advisory Committee* with membership that is generally consistent in balance with the membership set out for the *Advisory Committee* for the Deputy Vice-Chancellor and Principal (UBC Okanagan) and the Deputy Vice-Chancellor (UBC Vancouver), but the President will also consider balance between UBC Okanagan and UBC Vancouver. The President will normally consult with both the Provost and Vice-President Academic (UBC Vancouver), and the Deputy Vice-Chancellor and Principal (UBC Okanagan). Without limiting the discretion of the President, the composition of an *Advisory Committee* for the selection of the Vice-President, Research and ~~International Innovation~~ normally would be as follows:

For the Vice-President, Research and International Innovation			
Position	#	Source/Composition	Appointed by
Chair	1	President	Ex Officio
Secretary	*	A member of the administrative staff of one of the President *(non-voting and not counted in quorum)	Chair
Members	2	Persons appointed by the Chair from the members of the Board of Governors, at least one of whom must be a faculty member	Chair
	1	Faculty member selected by and from the UBC Okanagan Senate	Senate
	1	Faculty member selected by and from the UBC Vancouver Senate	Senate
	1	Associate Vice-President or Director appointed by the Chair from within the portfolio	Chair
	1	Graduate student appointed by the Chair from the students registered at UBC Okanagan	Chair
	1	Graduate student appointed by the Chair from the students registered at UBC Vancouver	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair

- 2.5. For the *Academic Associate Vice-Presidents*, the President will convene an *Advisory Committee* with the following membership:

Position	#	Source/Composition	Appointed by
Chair	1	The <i>Academic Vice-President</i> to whom the <i>Academic Associate Vice-President</i> will report	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	1	Person appointed by the President	President
	2	Persons selected by and from the UBC Okanagan Senate or the UBC Vancouver Senate (as applicable), at least one of whom must be a faculty member	Senate
	1	Member of staff selected from UBC Okanagan or UBC Vancouver by the Chair, as applicable	Chair
	1	Student appointed by the Chair from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver, as applicable	Chair

Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair
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For the Associate Vice-President, Research			
Position	#	Source/Composition	Appointed by
Chair	1	The Vice-President, Research and International Innovation	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	1	Person appointed by the President	President
	1	Faculty member selected by and from the UBC Okanagan Senate	Senate
	1	Faculty member selected by and from the UBC Vancouver Senate	Senate
	1	Member of staff selected by the Chair	Chair
	1	Graduate student appointed by the Chair from the students registered at UBC Okanagan	Chair
	1	Graduate student appointed by the Chair from the students registered at UBC Vancouver	Chair
Additional Members	N/A	Such other person(s) as the Chair may choose to appoint	Chair

For the Vice-Provost, International			
Position	#	Source/Composition	Selected by:
Chair	1	The Provost and Vice-President Academic (UBC Vancouver)	Ex Officio
Secretary	*	A member of the administrative staff of the Chair *(non-voting and not counted in quorum)	Chair
Members	1	Provost and Vice Principal (UBC Okanagan)	Ex Officio
	2	Persons appointed by the President, at least 1 of whom is a staff member from within the portfolio of the Provost and Vice-President Academic (UBC Vancouver)	President
	1	Person selected by the UBC Okanagan Senate from the faculty members from UBC Okanagan	Senate
	1	Person selected by the UBC Vancouver Senate from the faculty members from UBC Vancouver	Senate
	1	Student appointed by the Chair from the students registered in a degree or diploma program at UBC Okanagan or UBC Vancouver	Chair
	Additional Members	N/A	Such other person(s) as the President may choose to appoint
	N/A	One faculty member selected by the Chair and Members of the <i>Advisory Committee</i> (for clarity, not including the Additional Members) for every two Additional Members appointed by the President	Chair and Members of <i>Advisory Committee</i>

N/A	One student registered in a degree or diploma program at either UBC Okanagan or UBC Vancouver selected by the Chair and Members of the <i>Advisory Committee</i> (for clarity, not including the Additional Members) for every two Additional Members appointed by the President	Chair and Members of <i>Advisory Committee</i>
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The Chair of the *Advisory Committee* for the selection of ~~an~~ *Academic Associate Vice-President* must consult with the President before confirming the composition of the *Advisory Committee*.

- 2.6. **Senate Selections:** For Senators, the selection process is to be conducted in accordance with procedures satisfactory to the relevant Senate. Without limiting the generality of the foregoing, the Senate may authorize a committee (such as, for example, the Nominating Committee) to conduct the process or to simply nominate the Senators from that Senate.

3. Replacement of Advisory Committee Members

- 3.1. **Vacancy or Inability to Participate:** If a member of an *Advisory Committee* becomes unwilling or unable to serve as a member of the *Advisory Committee* before it has completed its work the Chair, in consultation with the President, may appoint a replacement member. While the replacement member may be any person whose participation is expected to contribute significantly to the activities of the *Advisory Committee*, the usual practice is for the replacement member to be from the same stakeholder group as the person being replaced.
- 3.2. **Student Status:** If a student member of an *Advisory Committee* ceases to be a student at the University but remains willing and able to continue to serve as a member of the *Advisory Committee*, the Chair, in consultation with the President, may permit the student to continue to serve or may appoint a replacement student member. Any such replacement student must meet the same eligibility requirements as the student who is being replaced. For example, if the student being replaced is a graduate student selected from the graduate students associated with a specific campus, the replacement student will be appointed from the graduate students associated with that campus.
- 3.3. If a replacement member is not appointed, the *Advisory Committee* may complete its work notwithstanding the vacancy.

4. Procedure for Advisory Committee

- 4.1. The Chair of the Advisory Committee will be responsible for calling meetings.
- 4.2. Meetings may be held face-to-face, via telephone conference, video conference or any means determined by the Chair of the Advisory Committee.
- 4.3. The quorum required to transact business at meetings will be a majority of the members of the Advisory Committee unless otherwise determined by the Chair.

5. Term and Remuneration

- 5.1. Extensions of appointments of *Designated Senior Academic Administrators* are normally for terms of up to five years.
- 5.2. For a *Designated Senior Academic Administrator* other than those identified in Articles 1.1.1, 1.1.3, and

1.1.4 of these Procedures, the President normally will not recommend the extension of an appointment if it would result in the incumbent serving more than 10 consecutive years.

- 5.3. If the form or amount of remuneration of a *Designated Senior Academic Administrator* is to be changed upon commencement of an extension, such change must be established and documented in writing at or before the effective date of the extension.

6. **Administrative Leaves**

- 6.1. Where the *Designated Senior Academic Administrator* has been granted an administrative leave pursuant to the Procedures established under Policy #18 (Appointment of Designated Senior Academic Administrators) and the appointment of the *Designated Senior Academic Administrator* is extended pursuant to this Policy #24 (Extension of Appointments for Designated Senior Academic Administrators), any such administrative leave will be automatically deferred unless otherwise determined by the President and be taken at the end of the extended term. In addition, the President may, in his or her discretion, grant a further administrative leave, to be taken at the conclusion of the extended term; provided however that the total duration of administrative leaves granted in respect of an initial appointment and granted in respect of any extensions together must not exceed 18 months. Any such grant of further administrative leave as well as any remuneration and/or benefits to be received by the *Designated Senior Academic Administrator* during any such further administrative leave must be documented in writing at or before the effective date of the extension.
- 6.2. Recognizing that administrative leave is intended to provide a reasonable period of time for senior administrators who are returning to the academic ranks to focus on their scholarly and professional activities and to re-integrate with their disciplines before they resume their regular duties as faculty members, administrative leave will only be granted to the *Designated Senior Academic Administrator* if he or she holds a tenured appointment and actually returns to active duty as a faculty member for at least one year immediately after the period of the administrative leave. 6.3. — If an administrative leave is granted, time served as a *Designated Senior Academic Administrator* and time taken on administrative leave will not be included in years of service for the purpose of calculating study leave.
- 6.4. Any arrangements with respect to administrative leave for a *Designated Senior Academic Administrator* that were established and documented in writing prior to October 1, 2010 will not be affected by these Procedures.
- 6.5. Any deviations from the Articles of these Procedures dealing with administrative leave may only be made with the written approval of the President.