



Board and Board Committee Meetings
Monday January 28 and Tuesday January 29, 2019

University
of Victoria

Open Session

Tuesday January 29, 2019

11:00 am –12:00 pm

Senate and Board Chambers, University Centre

DRAFT AGENDA

1. Approval of Agenda

MOTION:

THAT the agenda of the open session of the regular meeting of January 29, 2019 be approved.

2. Approval of Summary Record of the Meeting of November 27, 2018 (attached)

MOTION:

THAT the summary record of the open session of the regular meeting of November 27, 2018 be approved.

3. Business Arising from the Summary Record

4. Chair's Remarks

5. Correspondence

6. President's Report

a. Update on Off Campus Activity Risk Management Policy

7. External Relations Update

BOG-Jan29/19-33

CONSENT

8. Operations and Facilities Committee (Ms. Daphne Corbett)

a. Status Report on Capital Projects

BOG-Jan29/19-19A

b. New and Revised Awards

BOG-Jan29/19-03

MOTION:

That the Board of Governors approve the new and revised undergraduate and graduate awards set out in the attached document and listed below:

- *Schulich Leader Scholarship (revised)*
- *STÓ:LŌ Legacy Scholarship (revised)*
- *Canadian Judicial Indigenous Law Scholar Award (new)*
- *Insolvency Institute of Canada Prize in Insolvency Studies (new)*

- *Carolyn E. & Robert J. McCormick Indigenous Entrance Scholarship (revised)*
 - *Irene Lee Bursary In English (revised)**
 - *Larry Lee Kinesiology Bursary (revised)**
 - *Taylor Scholarship in Music (revised)**
 - *Davison Graduate Award in Russian and Slavic Studies (revised)*
 - *T.S. McPherson Entrance Scholarship (revised)**
 - *Terry and Myrna Daniels Scholarship in Music (revised)**
 - *Langford-Seaborne Scholarship (revised)*
 - *Rob and Tammy Lipson Research Scholarship (revised)**
 - *John Shields Scholarship in Public Administration (revised)**
 - *Butterfield Scholarship in Fine Arts (new)*
 - *Butterfield Scholarship in the School of Music (new)*
 - *Hakai-Raincoast Award (revised)*
 - *Allan and Elizabeth McKinnon Bursary in Engineering (revised)*
 - *Kiragood Scholarship (new)*
 - *Weston Family Scholarship in Hotel & Restaurant Management (revised)**
 - *Ailsa & Roger Bishop Entrance Scholarship in Theatre (new)**
 - *Ailsa & Roger Bishop Travel Award in Music (new)**
 - *Stacey Reginald Ball Prize (new)**
 - *Edward Hammond King Bursary (revised)**
 - *Phillips, Hager & North Graduate Bursary (revised)*
 - *Thea Vakil Scholarship (revised)**
 - *Diana and Martin Hocking Graduate Scholarship (revised)**
 - *Dr. Robert Michael Peet Graduate Scholarship (revised)*
 - *Vancouver Island Chapter of A.S.H.R.A.E Inc. Endowment Scholarship (revised)**
 - *Herta Hartmanshenn Award in Music (revised)**
 - *George Jennings Burnett Memorial Award (revised)**
 - *Mary Dorothy Jones Bessex Award (revised)**
 - *School of Exercise Science, Physical and Health Education Entrance Scholarship (revised)**
 - *School of Exercise Science, Physical and Health Education Scholarship (revised)**
 - *School of Exercise Science, Physical and Health Education Graduate Scholarship (revised)**
 - *Henry, Annie and Harry Cathcart Award (revised)**
 - *MBA Leadership/Citizenship Award (revised)*
 - *MBA Pay-It-Forward Award (revised)**
 - *Fox Memorial Bursary (revised) **
 - *Phoenix Theatre Award (revised)**
 - *Finlayson Award (revised)**
 - *Jean Sally Wilson Scholarship (new)**
- * Administered by the University of Victoria Foundation

c. Proposal to Discontinue the Diploma in Fine Arts BOG-Jan29/19-24

MOTION:

THAT the Board of Governors approve the discontinuation of the Fine Arts Diploma, as described in the document "Discontinuation of Diploma in Fine Arts", effective immediately.

d. Proposal to Establish a Minor in Data Science BOG-Jan29/19-25

MOTION:

THAT the Board of Governors approve the establishment of a Minor in Data Science, as described in the document "Minor in Data Science", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

e. Proposed Major Program Changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online) BOG-Jan29/19-26

MOTION:

THAT the Board of Governors approve the proposed major program changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online), as described in the memorandum dated October 22, 2018, effective immediately.

f. Proposal to Establish a Professional Specialization Certificate in Visitor and Community Engagement BOG-Jan29/19-27

MOTION:

THAT the Board of Governors approve the establishment of a Professional Specialization Certificate in Visitor and Community Engagement, as described in the document "Professional Specialization Certificate in Visitor and Community Engagement", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

9. Finance Committee (Dr. David Zussman)

a. University of Victoria Staff Pension Plan Investment Performance Report for the Period Ended September 30, 2018 BOG-Jan29/19-18

- b. **University of Victoria Staff Pension Plan Statement of Investment Policies and Goals** BOG-Jan29/19-29

MOTION:

THAT the Board of Governors approve the proposed amendments to the University of Victoria Staff Pension Plan Statement of Investment Policies and Goals, effective immediately.

10. Executive and Governance Committee (Ms. Beverly Van Ruyven)

- a. **Long Term Disability Trust Agreement Update** BOG-Jan29/19-22

MOTION:

THAT following the recommendation of the Board of Trustees of the Long Term Disability Trust, the Board of Governors approve the enclosed update to the Long Term Disability Trust Agreement.

Pro Forma Motion: *THAT the above items be approved by the Board of Governors by consent.*

REGULAR

11. Finance Committee (Mr. David Zussman)

- a. **Update on Development of Draft 2019/20 to 2021/2022 Planning and Budget Framework, Part 1**

12. Operations and Facilities Committee (Ms. Daphne Corbett)

- a. **Establishment of the University of Victoria Impact Chairs and the University of Victoria President's Chairs** BOG-Jan29/19-06

MOTION:

That the Board of Governors approve the establishment of the University of Victoria Impact Chairs and the University of Victoria President's Chairs.

- b. **Revised policy GV0350 Procedures for the Appointment and Re-appointment of the Vice-Provost and Academic Associate Vice-Presidents** BOG-Jan29/19-05

MOTION:

THAT the Board of Governors approve the revised policy GV0350 Procedures for the Appointment and Re-appointment of the Vice-Provost and Academic Associate Vice-Presidents, effective 1 February 2019.

- c. **Revised Research Policy** BOG-Jan29/19-35

MOTION:

THAT the Board of Governors approve the revised Research Policy, effective immediately.

- d. **Revised Establishment and Review of Research Centres Policy (and Associated Procedures)** BOG-Jan29/19-36

MOTION:

THAT the Board of Governors approve the revised Establishment and Review and Research Centres Policy (and Associated Procedures), effective immediately.

- e. **Revised Procedures for the Appointment and Re-Appointment of Centre Directors** BOG-Jan29/19-37

MOTION:

THAT the Board of Governors approve the revised Procedures for the Appointment and Reappointment of Centre Directors, effective immediately.

Other Business

- a) Review of action items identified
- b) Any other business

Adjournment



Board and Board Committee Meetings
Monday November 26 and Tuesday November 27, 2018

University
of Victoria

Open Session
Tuesday November 27 2018, 11:00 am
Senate and Board Chambers

DRAFT SUMMARY RECORD

Present: Ms. Beverly Van Ruyven (Chair), Mr. Merle Alexander, Mr. Pierre-Paul Angelblazer, Mr. Rizwan Bashir, Prof. Jamie Cassels, Ms. Ida Chong, Ms. Daphne Corbett, Dr. Peter Driessen, Ms. Cathy McIntyre, Ms. Andrea Mellor, Mr. Michael Mitchell, Ms. Shelagh Rogers, Ms. Carrie Andersen (Secretary)

By Invitation: Ms. Carmen Charette, Dr. Valerie Kuehne, Ms. Gayle Gorrill, Ms. Kimberley Kennard, Board Coordinator

Regrets: Dr. Elizabeth Borycki, Dr. David Castle, Ms. Kasari Govender, Dr. David Zussman

1. Approval of Agenda

MOTION: (C. McIntyre/D. Corbett)

THAT the agenda of the open session of the regular meeting of November 27, 2018 be approved.

CARRIED

2. Approval of Summary Record of the Meeting of September 25, 2018

MOTION: (M. Mitchell/S. Rogers)

THAT the summary record of the open session of the regular meeting of September 25, 2018 be approved.

CARRIED

3. Business Arising from the Summary Record

There was none.

4. Chair's Remarks

There were none.

5. Correspondence

Ms. Van Ruyven reported that a letter to the Board of Governors regarding invasive species on university grounds had been received. The letter had been acknowledged and forwarded to Facilities Management.

6. President's Report

President Cassels thanked Board members for their active engagement at the 2018 Joint Senate Board Retreat. It was a successful opportunity to broaden engagement on reputational advancement.

Strategic Framework

President Cassels provided an update on implementation of the Strategic Framework, commenting on engagement with the university community and specific work undertaken to develop initiatives and investments to support elements of the Strategic Framework.

Fall Convocation

President Cassels commented on the success of Convocation and thanked Chancellor Rogers for her important role.

Building Reconciliation Forum

President Cassels circulated the walking stick, which was passed from the University of Manitoba to UVic as hosts of the 2018 Building Reconciliation Forum. He thanked Merle Alexander and Chancellor Rogers for their participation in the Forum, and said the event had gone very well.

President Cassels informed the Board about creation of an external Indigenous Community Engagement Council. He provided details regarding role and membership.

Provincial Government

On November 15, an on campus event took place to announce financing of \$123M for the student housing project. Prof. Cassels reported on the successful event and commented on other financing components of the student housing project.

The Digital Supercluster has announced the first seven projects and UVic is prominent in two of those projects.

Federal Government

Work continues in Ottawa to secure funding for the building for the National Centre in Indigenous Law and Reconciliation.

Honourable Maryam Monsef, Minister for the Status of Women was on campus to talk with students in the Gender, Power and Difference class, to meet with the Research Chair in Gender Studies and to meet with President Cassels to discuss UVic's sexualized violence prevention and support.

International – Mission to Japan and Thailand

President Cassels, Dr. Catherine Krull - Dean of Social Sciences, Dr. Susan Lewis - Dean of Fine Arts, and Carolyn Russell - Director of Student Recruitment and Global Engagement travelled to Japan and Thailand to visit a range of institutions to reaffirm longstanding partnerships, sign agreements and explore new collaboration opportunities. President Cassels will be traveling to China in December to sign an agreement with the China Scholarships Council.

- 7. External Relations Update** BOG-Nov27/18-23
Ms. Charette reviewed the report received by the Board and provided highlights on Fall Convocation, the Building Reconciliation Forum, the student housing announcement on November 15, the second Communications and Marketing plan and the Joint Senate Board Retreat on reputational advancement. She updated Board members on achievement toward the annual fundraising goals.

CONSENT

- 8. Audit Committee (Ms. Cathy McIntyre)**
- a. Government Reporting Entity Quarterly Reports –** BOG-Nov27/18-07
Period Ending September 30, 2018
- 9. Operations and Facilities Committee (Mr. Michael Mitchell)**
- a. Due Diligence Report – Facilities Management** BOG-Nov27/18-10
- b. New and Revised Awards** BOG-Nov27/18-16

MOTION:

That the Board of Governors approve the new and revised undergraduate and graduate awards set out in the attached document and listed below:

- Brian Williams Memorial Scholarship Award (revised)*
- UVic Bookstore Scholarship in Writing (revised)
- M.A. Micklewright Award (revised)*
- United Empire Loyalists' Assoc. (Victoria Branch) Alvin Huffman, UE Scholarship in Canadian History (revised)
- Engineers and Geoscientists British Columbia Achievement Award (revised)
- Engineers and Geoscientists British Columbia Gold Medal Award (revised)
- Westshore Soroptimist Award (new)
- May Yuen Memorial Scholarship (revised)*
- Angus & Annie MacKay Bursary (revised)*
- Trudy Martin Memorial Bursary (revised)*

- Ian H. Perrigo Memorial Bursary (revised)*
- Ethel N. Lohbrunner Bursary (revised)*
- David H. Turpin National Entrance Scholarship (revised)*
- David Strong Entrance Scholarship (revised)
- Elsa Eleonora Fagerberg & Clara Maria Fagerberg Entrance Scholarship (revised)*
- National Entrance Scholarship (revised)*
- UVic Excellence Scholarship (revised)
- Elsa Eleonora Fagerberg & Clara Maria Fagerberg Bursary (revised)*
- Margaret T. Clinch Bursary (revised)*
- Margaret T. Clinch Bursary in Business Administration (revised)*
- Walker Wood Foundation Scholarship in Social Sciences (new)
- Island Community Home Support Services Bursary (revised)*
- Donald & Evelyn Munro Scholarship (revised)*
- Henriette Ann Schmidt Scholarship (revised)
- Physics Red Scholarship (revised)*
- Kathleen M. Hoyte and Cheryl A. Barnard Memorial Bursary (revised)*
- VNHS Bev Glover Memorial Scholarship (revised)
- VNHS Alice M. Hay Scholarship (revised)
- Ana and Peter Lowens Scholarship in Victorian Literature (new)*
- Nelson Family Bursary (revised)*
- Sherry Lovine Sagris Memorial Bursary in Art Education (revised)
- Hakai-Raincoast Bursary (revised)
- John F. Reeves Memorial Award (revised)*
- David Ritchie Business Grant (revised)*
- Certificate of Outstanding Academic Distinction in Human and Social Development (revised)*
- Urbanecology.ca Scholarship (revised)
- Dana R. Kingstone Scholarship in Economics (revised)
- Ronald S. Nairne Memorial Award (revised)*
- Vicky Husband Scholarship (revised)*
- Val Faris Memorial Scholarship (revised)*
- Stephen Canning Memorial Scholarship (revised)*
- Tolmie-Wood Scholarship (revised)*
- Woods Trust Scholarship (revised)*
- UVic Foundation Scholarship (revised)*
- Miranda Ward Physics Award (revised)*
- All My Relations Award (new)
- T.S. McPherson Entrance Scholarship (revised)*
- John Locke Malkin Entrance Scholarship (revised)*
- W. Gordon Fields Memorial Fellowship (revised)*
- Terry and Myrna Daniels Scholarship in Music (new)*

- Bentley Nichvolodoff Memorial Book Prize (revised)*
- VIPIRG Scholarships (revised)
- Jennifer Davison Undergraduate Scholarship in Russian Studies (revised)
- Clio Book Prize in Theatre History (revised)*
- Oak Bay and Saanich Centennial Scholarship (revised)*
- Allen P. James Scholarship (revised)*
- Saanich Employees Benefit Association Award (revised)
- Maureen De Burgh Memorial Scholarship (revised)*
- William Wowchuk Memorial Graduate Scholarship (revised)*
- Dorothy and Ernest Ayton Memorial Scholarship (revised)*
- Átol,ánw: A Season of Just and Fair Treatment Award (new)*
- Capstone Award (new)*
- Combined Computer Science and Mathematics Scholarship (new)*
- Dean of Science Entrance Scholarship for Indigenous Students (new)*
- Drew Wolfe-Fraser Memorial Scholarship (new)
- Matthew Prentice Scholarship (revised)*
- Max Walker Scholarship in Geography (new)*
- Nimrod Hungarian Mobility Award (revised)*
- Oak Bay High Nick Mathers & Dylan Jones Memorial Award (new)*
- Opening Night Scholarship (revised)*
- Phillips, Hager & North Graduate Bursary (revised)
- VNHS Samuel Simco Graduate Bursary (revised)
- VNHS Samuel Simco Undergraduate Bursary (revised)
- Olthuis Kleer Townshend Indigenous Law Scholar Award (new)
- Goldstream Hatchery Education Bursary (new)
- Wilson S.C. Lai Scholarship (new)
- Lee Hayes Award (revised)*
- Henry & Marian Thiel International Business Award (revised)*
- MT + Co. Leonard George Memorial Indigenous Law Scholar Award (new)
- Ratcliff & Company Indigenous Law Scholar Award (new)
- Union Club Scholarship (revised)
- W.E. Cowie Innovation Award (revised)*
- Peter Zachary Graduate Scholarship In Ukrainian Studies (new)*
- Woodward & Company Indigenous Law Scholar Award (new)
- Peter L. Smith Scholarship in Greek & Roman Studies (revised)*
- Rebecca and Esther Lazarus Scholarships in Music: Piano (revised)*
- Rebecca and Esther Lazarus Scholarships in Music: Voice (revised)*
- Women's Rugby Benefactors Award (new)*
- Elias Mandel Prize for study abroad in Hispanic and Italian studies (revised)*
- Peter Liddell award in Humanities computing (revised)*
- Aboriginal Health Career Bursary (revised)*
- Rita Irwin Scholarship (new)*

- Adeline Julienne Deloume Memorial Scholarship (revised)*
- Dorothy and Ernest Ayton Memorial Scholarship (revised)*
- Pablo Cabanas Memorial Scholarship (revised)*

* Administered by the University of Victoria Foundation

d. Proposal to Establish a Certificate in Indigenous Language Proficiency BOG-Nov27/18-17

MOTION:

THAT the Board of Governors approve, subject to funding, the establishment of a certificate in Indigenous Language Proficiency, as described in the document "Certificate in Indigenous Language Proficiency", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

e. Proposal for Neurobiology Option within the Combined Biology and Psychology Programs BOG-Nov27/18-29

MOTION:

THAT the Board of Governors approve, subject to funding, the establishment of a Neurobiology Option within the Combined Biology and Psychology Programs, as described in the document "Neurobiology Option within the Combined Biology and Psychology Programs", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

10. Executive and Governance (Ms. Beverly Van Ruyven)

a. Appointments to the Joint Senate Board Retreat Committee

MOTION:

That the Board of Governors appoint Pierre-Paul Angelblazer, Peter Driessen and Michael Mitchell to the Joint Senate Board Retreat Committee for 2018/2019.

Pro Forma Motion: (C. McIntyre/D. Corbett)

THAT the above items be approved by the Board of Governors by consent.

CARRIED

REGULAR

11. Finance Committee (Ms. Beverly Van Ruyven)

a. Student Health and Wellness Project Program of Requirements and Project Approval BOG-Nov27/18-15

Ms. Van Ruyven provided background on the need for revitalized space to provide health services on campus. She outlined the proposal for the student health and wellness project.

MOTION: (I. Chong/C. McIntyre)

THAT the Board of Governors approve the project budget of \$6.3M for the Student Health and Wellness Centre.

CARRIED

12. Operations and Facilities Committee (Mr. Michael Mitchell)

a. Student Health and Wellness Project Program of Requirements and Project Approval BOG-Nov27/18-15

Mr. Mitchell noted that the Student Health and Wellness Centre would provide clinical spaces, counselling space and education, collaborative and shared support spaces.

MOTION: (M. Mitchell/S. Rogers)

THAT the Board of Governors approve the program of requirements for the Student Health and Wellness Centre; and

THAT the Board of Governors authorize the Vice-President Finance and Operations to award contracts up to the approved budget for the Student Health and Wellness Centre subject to project approval.

CARRIED

b. 2018/19 Enrolment Analysis Report BOG-Nov27/18-30

Mr. Mitchell introduced this annual report.

c. Report on Student Financial Aid 2017-18 BOG-Nov27/18-26

Mr. Mitchell introduced this annual report, which provided information regarding student financial aid.

d. Revisions to Licencing Program Policy BOG-Nov27/18-01

Mr. Mitchell noted that the revisions to the policy reflect current practice and terminology.

MOTION: (M. Mitchell/D. Corbett)

THAT the Board of Governors approve the revisions to the Licensing Program Policy (AD2215), effective December 1, 2018.

CARRIED

Other Business

- a) Review of action items identified
There were no action items.

- b) Any other business
There was no other business to report.

Adjournment

There being no other business, the meeting adjourned at 11:38 am.

Beverly Van Ruyven
Board Chair

Carrie Andersen
Acting University Secretary



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR INFORMATION

January 14, 2019

To: Board of Governors
From: Carmen Charette, Vice-President External Relations
cc: President and Vice-Chancellor
Meeting Date: January 29, 2019
Subject: **External Relations Update**

A handwritten signature in black ink, appearing to read 'C. Charette'.

In support of UVic's Strategic Framework, External Relations connects UVic and the world around it by building relationships, resources and community to enhance the UVic Edge and our university's reputation. The following report provides an update on our activities in:

- Communicating the UVic mission and story
- Building meaningful partnerships
- Fostering a culture of philanthropy
- Celebrating success and excellence
- Enhancing community through cultural and other activities

COMMUNICATING THE UVic MISSION AND STORY

Sharpening Our Edge, the new institutional Communications and Marketing plan for UVic 2018-21 received Executive Council endorsement on November 20th. It is built around 14 interconnected initiatives designed to further differentiate UVic from its competitors and enhance the university's reputation with key audiences. The plan is the result of 40 workshops, interviews and meetings with units and leaders on campus.

Support positioning internally

- The Department and Unit Implementation Team (DU-IT) project is nearing completion of its work with the original set of units. To date, the team has worked, or is working, with 70 units including nearly all academic faculties, departments/schools and major programs, and 11

official research centres. Deliverables of the project include updates to 51 unit websites and the production of 47 videos highlighting the student experience in academic programs, and 88 pieces of print collateral — all using the UVic Edge. Discussions regarding the approach for 'DU-IT 2.0' are continuing.

Creating a media rich story-telling strategy

- Social media activities in November and December were principally in support of the fall advertising campaign for leaders and future students (ongoing).
- In December, we also developed a video highlight reel for our top news stories at UVic that can be found at <https://www.uvic.ca/news/topics/2018+top-10-stories+news>.
- Attached is a summary of 48 media stories covered between November 1, 2018 to January 7, 2019.

Update key UVic website elements

- The project to rebuild the central uvic.ca website closed its discovery phase in December. Over the past year, it encompassed 200 workshops with campus subject matter experts and target audience representatives to develop audience personas and journeys, plus 100 interviews. The goal is to gain recognition as one of the world's best university websites. A support strategy for building the new site is being drafted, covering web content, governance, and accessibility. A risk registry and detailed work breakdown structure is being created for the development of the site through 2019.
- We are actively working on specific user "stories" based on our research to create solutions for all the tasks identified that central site users need to carry out – collectively this will form the information architecture for the new uvic.ca
- Testing of the proposed changes to the global navigation of the site occurred with current students after classes resumed this month.

Implement an above-the-line paid advertising campaign

- The main portion of the third annual Edge leaders campaign wrapped up mid-December. An analysis of the online portion of the campaign will be conducted this winter with results available in March.
- The main portion of the third annual Edge student campaign wrapped up in late December, with some materials continuing to run through this month. Planning and creation of materials for the second phase of the campaign is underway with a goal to launch in February.

BUILDING MEANINGFUL PARTNERSHIPS

- UVic's Annual Alumni Week takes place February 1-7 celebrating the impact that UVic alumni have on their communities as thinkers, changers and difference makers. More than 15 events will be taking place on campus and around Victoria. Participation is not restricted to alumni as most events are open to anyone who would like to join in the celebration. The following events may be of particular interest to Board members. Contact the Alumni Office for assistance with your registration to attend (alumdir@uvic.ca). The complete event listing can be found online at: <https://www.uvic.ca/alumni/impact/home/alumni-week/index.php>

Feb 2 | Vikes for Life basketball games - Women's and Men's Basketball teams take on MacEwan

Feb 2 | UVic Curls! Alumni Bonspiel at Victoria Curling Club

Feb 4 | Continuing Studies Lecture – An event with Sari Alesh, internally known violinist

Feb 5 | Distinguished Alumni Awards Night – 13 distinguished grads receive awards from their faculties.

Feb 7 | In conversation: Chancellor Shelagh Rogers speaks with Esi Edugyan, BFA '99, 2-time Giller Prize winning author.

Federal and Provincial Government Activities

- Minister for the Status of Women, the Honourable Maryam Monsef, visited the campus on November 27 and met with students, faculty and staff. President Cassels met with the Minister to discuss gender equality issues and the prevention of sexualized violence on campus.
- UVic and ONC hosted an event titled, "*Ocean Intelligence*" at the Canadian Embassy in Washington, D.C. on December 11. The event featured a panel on the importance of technology and data to monitor our oceans. The panel was moderated by UVic Vice-President Research, David Castle and featured Kate Moran, ONC President & CEO; John Trowbridge, Executive Director, Ocean Observing Initiative; and Dawn Wright, Chief Scientist of Esri.
- On January 10, UVic President Jamie Cassels hosted an announcement at the new Ocean-Climate Building with the Honourable Jonathan Wilkinson, Minister of Fisheries, Oceans and the Canadian Coast Guard and MLA Spencer Chandra Herbert. They delivered the following two announcements: the Government of Canada's funding of \$12.6 million over four years in new funding under the Oceans Protection Plan for Ocean Networks Canada (ONC), a national network of ocean observation systems based at the University of Victoria; as well as the Government of Canada's Post-Secondary Institutions Strategic Fund (PSIF) funding of \$3.5 million towards the \$9.5 million Ocean-Climate Building. This also included \$850,000 from the Province of BC and \$5.15 million from UVic.
- On January 22, UVic hosted the Canada School of Public Service: Executive Development Leadership Program Canada Study Tour. A group of public servants from across ministries in the Government of Canada heard perspectives from UVic representatives on leadership approaches to address current and emerging issues. Carmen Charette, VP External Relations provided opening remarks and shared her own career experiences and perspectives on leadership approaches.

Municipal Government Activities

- In December, members from Community and Government Relations hosted the first meeting with the new Councillor Liaisons for Oak Bay, Victoria and Saanich. Meetings will be held regularly throughout the year and aim to enable each partner to share what is happening in their communities, identify existing and upcoming initiatives foster valuable relationships and work together to reach shared objectives.

Community Activities

- The University was a proud sponsor of the 2019 World Junior Hockey Championship, which took place from December 19 to January 5. The tournament provided an opportunity to connect with partners, alumni, donors, students and community members. Through sponsorship, UVic received promotion in Victoria as well as in Vancouver.

FOSTERING A CULTURE OF PHILANTHROPY

- UVic celebrated Giving Tuesday on November 27, with more than 1,100 donors giving over \$34,000 to UVic students and programs. Digital response grew significantly this year thanks in part to a new approach which included an email from President Cassels to kick off the day.
- The financial goal for 2018-2019 is \$16 million in new commitments from 5200 donors. In total, as at January 1st, \$15.67 million has been raised from 3846 donors. These include \$13.6 million generated from 68 major donors (\geq \$25,000); \$1.56 million from 455 leadership donors (\geq \$1000 < \$25,000); and \$540,000 from annual donors (<\$1000). Of these totals, \$6.4 million was generated from 16 estate donors.

CELEBRATING SUCCESS AND EXCELLENCE

- The 2018 Alumni Volunteer of the Year award was presented to David & Kathryn Lafontaine for their efforts in Kelowna over the last 25 years at an alumni event in Kelowna in November. Their daughter Kaitlyn, a first year UVic Law student, also acknowledged their award on their behalf at the Annual Alumni Association Holiday Reception.
- The Distinguished Alumni Awards for 2019 have been selected. The following recipients will be recognized during Alumni Week.
 - Mr. Scott Butler, BComm '98 (Business)
 - Ms. Wendy Kotilla, Dipl '01 (Continuing Studies)
 - Mr. Alexander (Alex) Nelson, BA '98 (Education)
 - Mrs. Shaan Pruden, BSc '84 (Engineering)
 - Mr. Griffin Russell, MPH '15 (Human and Social Development)
 - Dr. Barry Gough, VC '57 (Humanities)
 - Ms. Valerie Jepsen, LLB '01 (Law)
 - Mrs. Nella Nelson, BA '76 (Library)
 - Mr. Shawn Stebbins, BSc '84 (Science)
 - Mr. Kevin Orr, BA '02 (Social Sciences)
 - Mr. Nathan Medd, BFA '01 (Fine Arts)
- Chancellor Shelagh Rogers hosted Richard Wagamase's Starlight tribute event at the First Peoples House on December 4. The event was a cross-Canada book tour which Chancellor Rogers did in memory of her friend, Richard Wagamese, the Indigenous author who passed away just prior to finishing his recent book.
- Chancellor Rogers also participated as the Emcee at the January 16th Mental Health Awareness Week Showcase featuring Shane Koyczan, internationally renowned spoken word artist, poet and author. This important event was held in the Farquhar Auditorium and the Ceremonies and Events office assisted with its planning.
- The teams in Ceremonies and Events as well as Community and Government Relations also assisted with the South Island Prosperity Project's Future Innovators Challenge, a public event held in the Flury Hall in the Bob Wright building on January 13. The Future Innovator Challenge is a competition for high school and post-secondary students to help improve the quality of life for citizens of the region, and compete for seed funding of \$1500, \$750, or \$500

to put towards their projects. Up to 80 proposals were received and six finalists were selected to pitch their projects to the panel of judges at this event.

ENHANCING COMMUNITY THROUGH CULTURAL AND OTHER ACTIVITIES

The Legacy Art Galleries

- *Translations: The Art and Life of Elizabeth Yeend Duer—Gyokushō 玉蕉* runs from January 12 until April 6 at Legacy Downtown. This is an exhibition curated by Art History professor and Williams Legacy Chair, Dr. Carolyn Butler Palmer that looks at the works by Duer, who had Japanese and English heritage but spent the years over the Second World War in Victoria where she painted native plants.
- Legacy was the site for a related research symposium organized by the Williams Legacy Chair. This free and public event occurred on January 19. This symposium and exhibition examined intersections between Victoria, England, and Japan from the late nineteenth century to the 1950s.
- Legacy's Programmer has developed a new community program in collaboration with the Victoria Natural History Society related to the Duer exhibition. Seven Gr 1-5 classes from South Park Community School will attend tours of the Duer exhibition to explore the importance of indigenous plants in the Salish Sea region. Gallery tours will include botanical sketching. A follow up outdoor tour will be available.

Cultural Activities and Diverse Programming:

- After rate and scheduling changes at the Royal Theatre were announced, the Victoria Symphony announced plans to move 50% of their current downtown programming to the Farquhar Auditorium in the coming 2019-2020 Season. This will bring 15 additional concerts (in addition to the 8 concerts already taking place annually at the Farquhar) and between 10,000-13,500 additional community visitors to the campus.
- This winter, the Farquhar at UVic will host a number of community activities including:
 - Mental Health Awareness Week event featuring Shane Koyczan, January 16 at 5pm
 - Chinese New Year Gala, January 26 at 7pm
 - International Guitar Night, January 27 at 7:30pm
 - Fred Penner, February 10 at 2:30pm
 - Victoria Symphony Classics 3, February 17 at 2:30pm
 - Victoria Symphony Education Concerts, February 21 and 25
 - UVic School of Music BandFest, February 27, 28 and March 1
 - Karen Clark Dance Studio's Kix N Rhythm, March 2 at 6:30pm
 - Victoria Sings, March 4, 5 and 6 at 4:30pm
 - Victoria Symphony Classics 4, March 17 at 2:30pm

Summary of UVic Media Coverage
November 1, 2018 to January 7, 2019

Indigenous Knowledge

- **John Borrows, Indigenous Law**, was profiled in the *Star Vancouver (Toronto Star)* as one of Canada's "Changemakers" in a special series. The profile highlighted his work on creating the Indigenous Law program at UVic.
- **Natalie Ban, Environmental Studies**, spoke about her approach to research when working with First Nations communities in the *Globe and Mail*.
- The fourth annual Building Reconciliation Forum was held at UVic and reported on by *University Affairs* with quotes from **Jean-Paul Restoule, Indigenous Education. Restoule and Robina Thomas, Indigenous Academic and Community Engagement** were also interviewed about the forum in the *Times Colonist*.
- **Nick Claxton, Indigenous Education**, was quoted in the *Times Colonist* about the risks that Indigenous reef-net fishers are facing as a result of the increased tanker traffic associated with the Trans Mountain pipeline.
- **Andrea Walsh, Anthropology**, was interviewed on CBC's "North by Northwest" about the UVic project to reconnect residential school survivors to art they made as children at a Port Alberni school.
- **John Lutz, History**, wrote an op-ed in the *Tyee* on the history of totem poles and their importance in Indigenous story-telling. Excerpts from his op-ed were later used in an article from the *Washington Post* on the cultural appropriation of totem poles. This article was also published by the *Chicago Tribune, Ottawa Sun* and *National Post*.
- **Lindsay Borrows, Law**, spoke about climate change solutions in the context of Indigenous legal traditions on CBC's "The Early Edition".
- **Chancellor Shelagh Rogers and David Leach, Writing**, were interviewed by the *Times Colonist* about author Richard Wagamese's last work, *Starlight*, and the legacy he left on UVic through his lectures. Rogers also spoke with CBC Radio's "On the Island" about the book launch for the novel, which was held at UVic.
- **Judith Sayers, Business and Environmental Studies**, wrote an op-ed in the *Tyee* about changes to federal policy on Indigenous child and family services.
- **David Underwood, Education**, and his language immersion course in SENĆOŦEN were featured in an article in the *Globe and Mail* on Indigenous language.
- UVic's **Indigenous Law** program was chosen by the BC government as one of the province's most outstanding achievements in post-secondary education of 2018, as reported by the *Times Colonist*.

Ocean and Climate

- Research from **Frances Juanes, Biology**, on his piranha research was reported on by the *National Post* and Phys.org.
- **Rodney Rountree, Biology**, was interviewed on CBC's "Quirks and Quarks" about his research on fish vocalizations in the Amazon.
- **Trevor Murdock, Pacific Climate Impacts Consortium**, was interviewed on the CBC special series, "2015: Degrees of Change" about climate change and how to make meaningful change. Murdock's interview segment from the program was broadcast on CBC's "BC Today".
- **Maia Hoeberechts, Computer Science and Ocean Networks Canada**, was interviewed by CBC News about changing conditions of sea ice in Nunavut communities and how it affects animal migration patterns.
- **Robert Gifford, Psychology and Environmental Studies**, spoke about the "dragons of inaction," a term he's coined that explains why people are reluctant to take action on climate change with PBS News, CBC News and CBC's "The Current".

- **Jason Colby, History**, provided his expertise on the history of captive killer whales for a special feature in the *Seattle Times*. He also spoke to the *Miami Herald* on the same topic.
- **Francis Zwiers, Pacific Climate Impacts Consortium**, wrote an op-ed for the *Vancouver Sun* on climate change, wildfires and how forestry management practices may be contributing to these issues.
- An op-ed by **Sarah Morales, Law**, about the legal case surrounding Site C dam was published in the *Vancouver Sun* and the *Province*.
- **Lynda Gagne, Economics and Public Administration**, was interviewed on CBC's "On the Island" about "No Fly Climate Sci," a campaign from a growing group of academics making efforts to reduce their carbon footprint.
- **Julia Baum, Biology**, spoke to *Star Vancouver (Toronto Star)* about the impacts of climate change in BC, following the release of the province's climate change plan.
- **Sybil Seitzinger, Pacific Institute for Climate Solutions**, wrote an op-ed in the *Vancouver Sun* about the future of renewable energy and the pressing need to address climate change. Seitzinger also provided her expertise on BC's new climate action plan to CBC's "On the Island" and CFAX.

Healthy Communities

- **Kelli Stajduhar, Nursing/Institute on Aging and Lifelong Health**, spoke to the Canadian Press about a study she led on the benefits of palliative care for those afflicted by homelessness. The CP story was published by the *National Post* and the *Vancouver Sun*, and several outlets reported on the research, including CBC News *Star Vancouver (Toronto Star)*, *Times Colonist*, *Oak Bay News*, CBC's "All Points West," CKNW Radio, CHEK News and CFAX.
- **Aaron Devor, Sociology/Chair in Transgender Studies**, was interviewed by the *Tyee* and CBC's "On the Coast" about alternative gender identification on BC drivers' licenses.
- **Devor** also spoke about the representation of transgender communities in mainstream media to CBC News.
- **Tim Stockwell, Canadian Institute for Substance Use Research**, spoke to several media outlets about the cost of substance use in provinces and territories. Reporting on the issue was done by CBC News, Global News in BC and Alberta, CKNW Radio, CityTV Vancouver and CBC Radio North.
- **CanAssist received regional and provincial coverage for its technologies made available to 32** child development centres around BC to enhance the learning and play environments for children with a range of abilities. The story was included on the front page of the *Times Colonist*, *Oak Bay News*, CHEK News and CFAX.
- **Alan Cassels, Human and Social Development**, spoke about the growing number of younger and middle-aged people borrowing money for prescription drugs with *Star Vancouver* and CBC's "The Early Edition".
- **Crystal Tremblay, Geography, and Brock Smith, Business**, talked to the *Times Colonist* about the economic and social impacts of the charitable sector. The Victoria Foundation study, conducted by UVic researchers, was also reported on by *Victoria News*, CTV News and CHEK News.
- **Elisabeth Gugl, Economics**, was interviewed by BBC News about the efficacy of baby and infant-related technologies.
- **Nathan Lachowsky, Public Health and Social Policy**, authored an opinion piece on statistics, treatments and stigma related to HIV/AIDS. The article, published on the eve of World AIDS Day, was shared by the *National Post*, the *Tyee* and the Canadian Press. Lachowsky also spoke about the current status of HIV criminalization with CBC Radio Toronto's "Here and Now".
- Student **Josh Kozelj, Writing**, wrote an op-ed for the *Globe and Mail* on his battle with depression. The story was also featured in *Canadian Running*.
- **Steve Martin, Exercise Science, Physical and Health Education**, talked to CBC News about a global study that UVic has joined, looking at long-term effects of concussions from contact sports. The research was also reported on by *Victoria News*, CBC Radio Montreal's "The Doc Project" and CBC's "On the Island".

- **Nicole Fetterly, Food Services**, spoke to CBC's "All Points West" about the stock Epinephrine program at UVic. CBC News and the *Times Colonist* also reported on the program.

Other notable coverage

- **Kim Venn, Physics and Astronomy**, wrote an op-ed for *Nature* on the complex history of the Milky Way galaxy.
- UVic's **Co-op & Career** program was included in reporting from the *Globe and Mail* and in a feature article in the *Times Colonist*.
- **Colin Bennett, Political Science**, was interviewed extensively by the *Hill Times* on data collection by political parties. He also wrote an op-ed on the topic for the *Times Colonist*.
- **Saul Klein, Business**, wrote an op-ed for the *Province* on how companies can gain consumer trust after a public misstep.
- **April Nowell, Anthropology**, spoke to *National Geographic* about cave art and early human behaviour.
- **Genevieve von Petzinger, Anthropology**, was interviewed on NPR's national radio program "All Things Considered," about ancient cave art found in Indonesia.
- **Oliver Schmidtke, Centre for Global Studies**, was interviewed weekly on CTV's national news program for his expertise on Brexit, Germany's chancellor and other political issues in the EU. Schmidtke also joined "CBC News Network with Carole MacNeil" to speak about the same subject.
- The announcement of new **on-campus housing at UVic** was reported on across the province, including on the front page of the *Times Colonist*, CBC News, *Victoria News*, *Business in Vancouver*, CBC News Network, Radio-Canada Télé, CTV News, CHEK, CBC Radio and CFAX.
- Alumna **Esi Edugyan, Fine Arts**, made international news for winning the Giller Prize literary award for her novel *Washington Black*. She was featured on the front page of the *Globe and Mail*, in the *Guardian*, *Maclean's*, *Toronto Star*, CBC News, Global News and the novel was a New York Times notable book and included in Barack Obama's annual list of favourite books. The *Globe and Mail* also named her artist of the year for 2018.
- The MBA program partnership between **Gustavson School of Business** and Telus was profiled by *Maclean's*. **Dan Pontefract and Mark Colgate, Business**, provided comment on the successes and challenges related to the specialized program.
- Alumna **Frances Backhouse, Writing**, was featured on CBC Radio's "Ideas" about how humans interact with beavers.
- The **Orontes Guitar Quartet** from Syria who have joined UVic on a fellowship received an extensive profile from the *Globe and Mail*, where they discussed their journey to Canada. **Alexander Dunn, Music**, spoke about the immigration challenges that the quartet faced and what their presence means to the campus community, as well as the artists.
- **Reg Whitaker, Political Science**, wrote about the Brexit referendum and democracy in an op-ed for the *Globe and Mail*.
- **Philip Calvert, Centre for Asia-Pacific Initiatives**, was contacted by several media outlets for his expertise on the diplomatic relations between China and Canada following the arrest of Huawei's CFO in Vancouver. In addition to writing op-eds in the *Globe and Mail* and *Nikkei Asian Review*, he spoke with Reuters, *South China Morning Post* and AM 980 Vancouver.



University
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SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR INFORMATION

January 14, 2019

To: OPERATIONS AND FACILITIES COMMITTEE

From: VICE-PRESIDENT FINANCE AND OPERATIONS

A handwritten signature in black ink, appearing to read 'G. Hill'.

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: STATUS REPORT ON CAPITAL PROJECTS

Basis for Jurisdiction: Committee's Terms of Reference

Strategic Relevance:

1.5 Increase the vibrancy of campus life by enhancing the natural and built environment to create more opportunities for interaction and collaboration; and develop infrastructure and programmatic initiatives, including additional student housing and increased opportunities for recreation, cultural activities and social interaction.

Previous Consultation:

Report provided to Board of Governors Operations and Facilities Committee at each meeting.

Background:

Attached please find the regular Board reports on the status of capital projects for current approved capital projects.

Attachment(s):

VPFO/FMGT Project Updates: January 01, 2019

1. District Energy Plant
2. Student Health & Wellness Centre
3. Student Housing



PROJECT:	DISTRICT ENERGY PLANT
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Project No: 16-02534
 Project Consultants: DIALOG/FVB Energy Inc.
 Construction Manager: Farmer Construction Ltd.

BUDGET STATUS:	APPROVED BUDGET 01-Sept-16	FMGT Forecast Costs 01-Dec-2018
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Consulting	\$2,888,770	\$2,888,770
Construction	\$13,900,000	\$13,900,000
Completion	\$1,900,000	\$1,900,000
Contingency	<u>\$780,000</u>	<u>\$780,000</u>
Sub-Total	\$19,468,770	\$19,468,770
GST (1.65%)	<u>\$321,230</u>	<u>\$321,230</u>
TOTAL PROJECT COSTS	\$19,790,000	\$19,790,000

- Total commitments to date are nearing \$19,790,000, representing 100% of the approved Budget of \$19,790,000.

SCHEDULE STATUS:	Target Date 01-Apr-18	Actual / Forecasted Date 01-July-17
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PHASE 1 – New Building w/3 Boilers, Underground Services

Schematic Design - Complete	Jun 2016	Jun 2016
Design Development - Complete	Oct 2016	Oct 2016
Construction Documents	Mar 2017	Mar 2017
Tender	Apr 2017	May 2017
Construction Stage	Feb 2018	May 2018
Commissioning	Mar 2018	Nov 2018
Operation	Apr 2018	Jan 2019

PHASE 2 – Energy Transfer Station Renovations

Construction Documents	Apr 2018	Dec 2017
Tender	Jun 2018	Jan 2018
Construction Stage	Feb 2019	Feb 2019
Commissioning	Mar 2019	Mar 2019

Major Risks:

- None at this time.

PROJECT:	STUDENT HEALTH & WELLNESS CENTRE
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Project No: 17-03034
Project Consultants: KASIAN Architecture Ltd.
General Contractor: TBD

BUDGET STATUS:	APPROVED BUDGET 01-Mon-yr	FMGT Forecast Costs 01-Jan-2019
Consulting	\$390,000	\$390,000
Construction	\$4,610,000	\$4,680,000
Completion	\$1,000,000	\$1,000,000
Contingency	<u>\$200,000</u>	<u>\$200,000</u>
Sub-Total	\$6,200,000	\$6,200,000
GST (1.65%)	<u>\$100,000</u>	<u>\$100,000</u>
TOTAL PROJECT COSTS	\$6,300,000	\$6,300,000

- Total commitments to date are approximately \$92,151, representing 1.5% of the approved Budget of \$6,300,000.

SCHEDULE STATUS:	Target Date 01-May-20	Actual / Forecasted Date 01-May-20
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Schematic Design - Complete	April 2018	April 2018
Design Development	November 2018	November 2018
Construction Documents	March 2019	March 2019
Tender	April 2019	April 2019
Construction Administration	January 2020	January 2020
Commissioning and Warranty	February 2020	February 2020
Fit-up and Move In	March 2020	March 2020
Operation	May 2020	May 2020

Major Risks:

- None at this time

PROJECT:	STUDENT HOUSING & DINING
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Project No: 16-02265
 Project Consultants: Perkins + Will Canada Architects
 Construction Manager: EllisDon-Kinetic

BUDGET STATUS:	Approved Budget 27-Mar-2018	FMGT Forecast Costs 01-Jan-2019
Consulting	\$16,400,000	\$17,846,327
Construction	\$163,700,000	\$166,675,062
Completion	\$6,400,000	\$5,768,858
Contingency	<u>\$7,500,000</u>	<u>\$3,709,753</u>
Sub-Total	\$194,000,000	\$194,000,000
GST (1.65%)	<u>\$3,200,000</u>	<u>\$3,200,000</u>
TOTAL PROJECT COST	\$197,200,000	\$197,200,000

- Total commitments to date are \$24,914,070 representing 12.63% of the Approved Budget of \$197,200,000.

SCHEDULE STATUS:	Target Date 27-Mar-2018	Actual / Forecasted Date 01-Jan-2019
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Planning / Programming	<i>Complete</i>	February 2018	March 2018
Schematic Design	<i>Complete</i>	August 2018	September 2018
Design Development		March 2019	March 2019
Construction Documents		November 2019	November 2019

Early Works – Service Road, Walkway Removals

Tender		March 2019	March 2019
Construction Stage		July 2019	July 2019

Building 1

Tender		January 2020	January 2020
Construction Stage		April 2022	April 2022
Commissioning & Fit-Up		July 2022	July 2022
Operation		August 2022	August 2022

Building 2

Tender		August 2022	August 2022
Construction Stage		April 2024	April 2024
Commissioning & Fit-Up		July 2024	July 2024
Operation		August 2024	August 2024

Major Risks:

- None at this time.



University
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SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Valerie S. Kuehne, Vice-President Academic and Provost

A handwritten signature in blue ink that reads "Valerie S. Kuehne".

cc: President and Vice-Chancellor

Meeting Date: January 28, 2019

Subject: New and Revised Awards

Basis for Jurisdiction: University Act, 27 (2)(k)
Strategic Framework, Strategy 1.1
Senate meeting on December 7, 2018 and January 11, 2019

Strategic Relevance: The attached new and revised awards support Strategy 1.1 of the Strategic Framework and our student recruitment and retention strategies. They provide competitive scholarships and enable the University to continue to attract, recruit and retain a diverse community of outstanding students.

Previous Consultation: Senate meeting on December 7, 2018 and January 11, 2019

Recommendation:

That the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the new and revised undergraduate and graduate awards set out in the attached document and listed below:

- Schulich Leader Scholarship (revised)
- STÓ:LÕ Legacy Scholarship (revised)
- Canadian Judicial Indigenous Law Scholar Award (new)
- Insolvency Institute of Canada Prize in Insolvency Studies (new)
- Carolyn E. & Robert J. McCormick Indigenous Entrance Scholarship (revised)
- Irene Lee Bursary In English (revised)*
- Larry Lee Kinesiology Bursary (revised)*
- Taylor Scholarship in Music (revised)*
- Davison Graduate Award in Russian and Slavic Studies (revised)
- T.S. McPherson Entrance Scholarship (revised)*
- Terry and Myrna Daniels Scholarship in Music (revised)*
- Langford-Seaborne Scholarship (revised)
- Rob and Tammy Lipson Research Scholarship (revised)*
- John Shields Scholarship in Public Administration (revised)*
- Butterfield Scholarship in Fine Arts (new)
- Butterfield Scholarship in the School of Music (new)
- Hakai-Raincoast Award (revised)
- Allan and Elizabeth McKinnon Bursary in Engineering (revised)
- Kiragood Scholarship (new)
- Weston Family Scholarship in Hotel & Restaurant Management (revised)*
- Ailsa & Roger Bishop Entrance Scholarship in Theatre (new)*
- Ailsa & Roger Bishop Travel Award in Music (new)*
- Stacey Reginald Ball Prize (new)*
- Edward Hammond King Bursary (revised)*
- Phillips, Hager & North Graduate Bursary (revised)
- Thea Vakil Scholarship (revised)*
- Diana and Martin Hocking Graduate Scholarship (revised)*
- Dr. Robert Michael Peet Graduate Scholarship (revised)
- Vancouver Island Chapter of A.S.H.R.A.E Inc. Endowment Scholarship (revised)*
- Herta Hartmanshenn Award in Music (revised)*
- George Jennings Burnett Memorial Award (revised)*
- Mary Dorothy Jones Bessex Award (revised)*
- School of Exercise Science, Physical and Health Education Entrance Scholarship (revised)*
- School of Exercise Science, Physical and Health Education Scholarship (revised)*
- School of Exercise Science, Physical and Health Education Graduate Scholarship (revised)*

- Henry, Annie and Harry Cathcart Award (revised)*
- MBA Leadership/Citizenship Award (revised)
- MBA Pay-It-Forward Award (revised)*
- Fox Memorial Bursary (revised) *
- Phoenix Theatre Award (revised)*
- Finlayson Award (revised)*
- Jean Sally Wilson Scholarship (new)*

* Administered by the University of Victoria Foundation

Background:

The attached awards were reviewed by Senate Committee on Awards and recommended for approval to Senate. At the December 7, 2018 and January 11, 2019 meeting, Senate approved the attached awards and recommended that the awards be approved by the Board of Governors. These awards support our student recruitment and retention strategies, provide competitive scholarships and enable the university to continue to attract, recruit and retain outstanding students.

Planned Further Action:

Student Awards and Financial Aid will administer the awards after approval.

Attachment(s):

- Memorandum to Senate dated November 21, 2018
- Memorandum to Senate dated December 18, 2018



Date: 21 November 2018
To: Senate
From: Senate Committee on Awards
Re: **New and Revised Awards**

The Senate Committee on Awards recommends that the Senate approves and recommends to the Board of Governors the following awards:

*Administered by the University of Victoria Foundation
Additions are underlined
Deletions are ~~struck through~~

SCHULICH LEADER SCHOLARSHIP (REVISED-UG)

One scholarship valued at ~~\$100,000~~ \$80,000, payable at ~~\$25,000~~ \$20,000 per year for four years, is awarded to ~~for~~ an academically outstanding student enrolled in the Bachelor of Engineering program and one scholarship valued at ~~\$80,000~~ \$60,000, payable at ~~\$20,000~~ \$15,000 per year for four years, ~~for~~ is awarded to an academically outstanding student enrolled in any other STEM (Science, Technology, Engineering or Math) are offered by Seymour Schulich and the UJA (United Jewish Appeal) Federation of Greater Toronto to support Canadian undergraduate students entering UVic from high schools, secondary schools, or CEGEPs in Canada. Students must be enrolled to study in the areas of science, technology, engineering, mathematics or other related disciplines as Seymour Schulich believes that these areas will help secure the future economic competitiveness of Canada. The Schulich Leader Scholarships are available to support and encourage young people to embrace science technology in their future careers.

~~When selecting Schulich Leaders consideration will be given to at least two of the following criteria: academic excellence, demonstrated leadership in school or community or evidence of entrepreneurial talent, or financial need. To be automatically renewed a student must have completed full-time studies and meet the university's requirements to pass an academic year. The scholarships are renewable for an additional three years, or until the first undergraduate degree is obtained, whichever is the shorter period. Schulich Leaders must continue to be enrolled in one of the University's STEM faculties to remain eligible for this scholarship, and pass the year by the university's standards. Students must be nominated by their high school, secondary school or CEGEP to be considered.~~



STÓ:LŌ ~~ETHNOHISTORY~~ LEGACY SCHOLARSHIP (REVISED-UG/GS)

One or more scholarships to a total value of \$5,000 per annum ~~is~~ are awarded to a registered members of any Stó:lō First Nation (i.e. any First Nation located along the Fraser River and its tributaries between Langley and Yale) enrolled in a certificate, diploma, or a degree program (undergraduate, or graduate ~~or post doc~~) at the University of Victoria.

Applicants must submit a short statement of the educational goals they wish to achieve with this scholarship, a high school transcript and/or other relevant educational transcripts, proof of band membership, and two letters of reference. ~~Applications must be submitted to the Department of History, att: Dr. John Lutz, by May 31st. In the case of an u~~Undergraduate recipients award, selection will be approved ~~made~~ by the Senate Committee on Awards, upon the recommendation of the Department of History and the Indigenous Studies Program. ~~In the case of a g~~Graduate recipients award, selection will be approved by the Faculty of Graduate Studies ~~made by the~~ Graduate Awards Committee, upon the recommendation of the Department of History. ~~In the case of a post doc, selection will be approved by the Office of Research Services, upon the recommendation of the Department of History.~~

CANADIAN JUDICIAL INDIGENOUS LAW SCHOLAR AWARD (NEW-UG)

One or more awards of at least \$2,000 are given to undergraduate students entering or continuing in the JD/JID program who have demonstrated academic ability together with determination, resilience, contribution, and compassion in areas of life such as prior work experience, graduate study, community service, family care, or disability. Approval of the recipients will be made by the Senate Committee on Awards upon recommendation of the Faculty of Law.

INSOLVENCY INSTITUTE OF CANADA PRIZE IN INSOLVENCY STUDIES (NEW-UG)

One or more awards are given to undergraduate students in the Faculty of Law who have achieved the highest standing in LAW 312: Debtor and Creditor Relations, or in any other course in the Faculty of Law, should LAW 312 not be offered, with a focus on insolvency, bankruptcy or restructuring as determined by the Faculty. Approval of the recipient(s) will be made by the Senate Committee on Awards upon the recommendation of the Faculty of Law. This award may be awarded to a graduating student.

CAROLYN E. & ROBERT J. MCCORMICK ~~ABORIGINAL~~ INDIGENOUS ENTRANCE SCHOLARSHIP (REVISED-UG)

One or more ~~A~~ scholarships of at least \$9,000 each ~~are~~ \$9,000 is awarded to an ~~Aboriginal~~ Indigenous undergraduate students entering the Faculty of Law J:D-/JID program who have demonstrated academic excellence. Approval of the recipient(s) will be made by the Senate

Committee on Awards upon the recommendation of ~~Nomination of the student recipient will be made by the Faculty of Law.~~

IRENE LEE BURSARY IN ENGLISH* (REVISED-UG)

One or more bursaries are ~~An awarded is made annually to a deserving students entering proceeding to year three-3 or four 4~~ of an Honours or Major program in the Department of English.

LARRY LEE KINESIOLOGY BURSARY* (REVISED-UG)

One or more A bursaries are ~~is~~ awarded to a School of Exercise Science, Physical and Health Education students continuing in any year of the BSc program with a Major in Kinesiology.

TAYLOR SCHOLARSHIP IN MUSIC* (REVISED-UG)

One or more A scholarships are ~~is~~ awarded to ~~an~~ academically outstanding students in any year of study for the Bachelor of Music degree. The scholarship is presented in honour of Dr. M.G. Taylor, the first President of the University of Victoria, and Mrs. V. Taylor, and is administered by the University of Victoria Foundation. ~~If funds permit, additional scholarships may be made.~~

DAVISON GRADUATE AWARD IN RUSSIAN AND SLAVIC STUDIES (REVISED-GS)

At least o~~One~~ award of a minimum of \$1,500 is awarded ~~each April~~ to a graduate students in the Slavic Studies Graduate Program. Preference will be given, in descending order of priority, to a students who are~~is~~:

- a) travelling to Russia, or the countries of the former Soviet Union, to do research
- b) travelling to an academic conference to present a research paper
- e) ~~academically outstanding~~

T. S. MCPHERSON ENTRANCE SCHOLARSHIP* (REVISED-UG)

One or more scholarships of a minimum of \$4500 per year, up to five years, are awarded to students of exceptional promise entering the University of Victoria directly from British Columbia secondary schools, colleges, and universities; normally two ~~of the ten~~ scholarships are reserved for college or university students. Selection is based on academic excellence, breadth of interest and leadership qualities.

To be automatically renewed a student must have completed a total of 12 or more academic units in any two terms of study between May and April and maintained a grade point average of 7.50/9.00 or higher on the best 12 units. The scholarship is automatically renewed for each year

of the student's full time study until completion of a first degree or for a maximum of four years, whichever is the shorter period. A student whose grade point average falls below 7.50/9.00 may file a written appeal with the Senate Committee on Awards to seek special consideration for the renewal of the scholarship.

Students registered in a co-op or work experience work-term will automatically be renewed when they next complete 12 or more academic units in two terms, provided they have a grade point average of 7.50/9.00 or higher in the two terms. Any student who takes neither a co-op, work experience work-term, or academic units for more than one term may forfeit their scholarship.

TERRY AND MYRNA DANIELS SCHOLARSHIP IN MUSIC* (REVISED-UG)

A scholarship is awarded to an academically outstanding undergraduate student entering third year in the School of Music with demonstrated financial need. Preference is for students from a single-parent family.

LANGFORD-SEABORNE SCHOLARSHIP (REVISED-UG/GS)

A scholarship of ~~\$750~~ 1,000 is awarded to an Indigenous graduate student in the School of Public Administration. If there is no eligible student, an Indigenous undergraduate student in the Indigenous Community Development and Governance Diploma in the School of Public Administration ~~another department in the Faculty of Human and Social Development~~ may receive the scholarship. ~~Selection Graduate recipients will be made approved by the Faculty of Graduate Studies~~ Graduate Awards Committee and undergraduate recipients will be approved by the Senate Committee on Awards upon the recommendation of the School of Public Administration ~~or the Faculty of Human & Social Development~~.

ROB AND TAMMY LIPSON RESEARCH SCHOLARSHIP* (REVISED-UG/GS)

One or more scholarships, of at least \$2,000 and to a maximum of \$4,000 each are awarded to academically outstanding undergraduate or graduate students in the Faculty of Science who have:

- a) An international research opportunity. The opportunity needs to be a research collaboration between UVic and an international academic, industry or government research entity;
- b) Been recommended by their advisor and/or department chair; and,
- c) ~~And, w~~ Whose advisor/chair and international collaborator have both committed funding to the ~~students'~~ student's research opportunity.

Applicants must:

- a) Fill out a form that itemizes the cost of the trip and verifies other levels of support; and,
- b) Provide a letter of support from the advisor and/or department chair.

Preference will be given to students, with first preference to undergraduates, who have demonstrated a commitment to knowledge translation through one of:

- a) A presentation at a departmental or research centre symposium or colloquium;
- b) Participation in a faculty/UVic wide presentation event, such as HonoursFest or IdeasFest.

Approval of the recipients will be made by the Senate Committee on Awards or the Faculty of Graduate Studies Graduate Awards Committee upon the recommendation of the Faculty of Science.

The application forms are available from the Science Dean's Office and are to be submitted by April 30th. The entire budget must not be allocated to one student and the amount of the award(s) should be around the same as the amount of funding that has been committed by the department chair and international collaborator.

JOHN SHIELDS SCHOLARSHIP IN PUBLIC ADMINISTRATION* (REVISED-GS)

Up to two A scholarships are is awarded to a full-time or part-time graduate students in the School of Public Administration with preference given to a-students dedicated to community development and social justice through community based research that integrates social, environmental and labour issues. engagement, conflict resolution and/or service to the public. Students must apply in writing to the School of Public Administration by October 15th. Approval Selection of the recipients will be made by the Faculty of Graduate Studies Graduate Awards Committee upon the recommendation of the School of Public Administration.

BUTTERFIELD SCHOLARSHIP IN FINE ARTS (NEW-UG)

One or more scholarships are awarded to academically outstanding entering or continuing undergraduate students in the UVic Faculty of Fine Arts.

BUTTERFIELD SCHOLARSHIP IN THE SCHOOL OF MUSIC (NEW-UG)

One or more scholarships are awarded to academically outstanding entering or continuing undergraduate students in the UVic School of Music. Approval of the recipients will be made by the Senate Committee on Awards upon the recommendation of the School of Music.

HAKAI-RAINCOAST BURSARY AWARD (REVISED-UG)

One or more awards bursaries are given awarded to Indigenous undergraduate entrance or transfer students in the Department of Geography with demonstrated financial need. If there are no eligible candidates, the award bursary will be given awarded to an Indigenous undergraduate entrance or transfer student in the Faculty of Social Sciences with demonstrated financial need.

Approval of the recipient will be made by the Senate Committee on Awards upon the recommendation of the Faculty of Social Sciences.

ALLAN AND ELIZABETH MCKINNON BURSARY IN ENGINEERING (REVISED-UG)

One or more bursaries are awarded to a student entering or continuing studies in the Faculty of Engineering. Preference is for mature students.

KIRAGOOD SCHOLARSHIP (NEW-UG)

A scholarship is awarded to an academically outstanding undergraduate woman student who has done capacity-building volunteer work with a focus on: social development, social relations, peacekeeping, international relations, leadership training, community health, and/or community health linked to environmental stewardship, either in Canada or internationally. Selection of the recipient will be made by the Senate Committee on Awards.

Applicants must submit the following:

1. A letter of reference from an employer or volunteer coordinator (who is not related to the applicant) that demonstrates the applicant's communication skills, personal endurance and perseverance, and their passion for multicultural learning and engagement
2. An essay (maximum 1,000 words) describing what actions the applicant is personally committed to, for example: "In the arena of I will commit to" it could be working in the global South, undertaking research, leading a mission, serving on a board of directors, etc.

~~W. GARFIELD WESTON FAMILY FOUNDATION SCHOLARSHIPS IN HOTEL & RESTAURANT MANAGEMENT*~~ (REVISED-UG)

One or more scholarships are awarded to academically outstanding undergraduate Bachelor of Commerce students who are either entering the third or fourth year of the Bachelor of Commerce program from an and specializing in the Hotel and Restaurant Management area. Academic standing of graduates of approved two-year Canadian Hospitality Diploma programs will be assessed on college course results or who are entering their fourth year specializing in Service Management. Eligible students must also be Canadian citizens.

AILS & ROGER BISHOP ENTRANCE SCHOLARSHIP IN THEATRE* (NEW-UG)

One or more scholarships of a minimum of \$4,000 per year, payable for up to four years, are awarded to academically outstanding students entering the Department of Theatre in the Faculty of Fine Arts. Preference will be given to students with demonstrated financial need.

To be automatically renewed a student must have completed a total of 12 or more academic units in any two terms of study between May and April and maintained a grade point average of 7.50/9.00 or higher on the best 12 units. The scholarship is automatically renewed for each year of the student's full time study in the Department of Theatre until completion of a first degree or for a maximum of three years, whichever is the shorter period. A student whose grade point average falls below 7.50/9.0 may file a written appeal with the Senate Committee on Awards to seek special consideration for the renewal of the scholarship.

Students registered in a co-op or work experience work-term will automatically be renewed when they next complete 12 or more academic units in two terms, provided they have a grade point average of 7.50/9.0 or higher in the two terms. Any student who takes neither a co-op, work experience/work-term, nor academic units for more than one term may forfeit their scholarship.

AILS & ROGER BISHOP TRAVEL AWARD IN MUSIC* (NEW-UG)

One or more awards are given to undergraduate students in the School of Music to enhance the student learning experience through travel in support of research and/or creative activity. This activity may include, but not be limited to, participation in field schools, exhibitions, performances or presentations.

STACEY REGINALD BALL PRIZE* (NEW-UG)

One prize is awarded to an undergraduate student in the Faculty of Law who has demonstrated exceptional academic excellence in individual employment law through a paper crafted in coursework or directed research. Should there be no suitable paper in an academic year, the prize may be awarded to a student who has demonstrated exceptional academic excellence in a course involving individual employment law. Approval of the recipient will be made by the Senate Committee on Awards upon the recommendation of the Faculty of Law. This prize may be awarded to a graduating student.

EDWARD HAMMOND KING BURSARY* (REVISED-UG/GS)

One or more bursaries are awarded to undergraduate or graduate students in the Faculty of Science, with preference for students in the School of Earth and Ocean Sciences.

PHILLIPS, HAGER & NORTH GRADUATE BURSARY (REVISED-GS)

Up to two bursaries, totaling \$2,000, the gift of Phillips, Hager and North Investment Management, may be awarded to a graduate student in Economics. The bursary will be based firstly on the financial circumstances of those eligible and secondly on their academic standing.

THEA VAKIL SCHOLARSHIP* (REVISED-GS)

~~A One or more~~ scholarships ~~are of~~ at least \$1,000 is awarded to an academically outstanding MPA on-campus graduate student interested in the School of Public Administration, a career in the public service (eg, government, charitable sector or community development). Applicants must submit an original 1,500 word non-partisan briefing note addressed to one or more Ministries in the BC Government on a pressing public policy issue. Completed briefing notes must be submitted to ~~Applications may be obtained from~~ the School of Public Administration ~~and must be submitted~~ by June 15th. Approval Selection of the recipient will be made chosen by the Faculty of Graduate Studies Graduate Awards Committee upon the recommendation of the School of Public Administration.

DIANA AND MARTIN HOCKING GRADUATE SCHOLARSHIP* (REVISED-GS)

One or more scholarships are awarded to Master's or ~~Doctoral~~ PhD students with an undergraduate degree in the physical or biological sciences or engineering, who are pursuing a degree in the Department of Geography in the Faculty of Social Sciences, or the School of Earth and Ocean Sciences (SEOS) in the Faculty of Science, and who ~~has~~ have been endorsed by their academic supervisor. Students in a combined program or interdisciplinary program with one of the above may be considered. Approval Selection of the recipient will be made by the Graduate Awards Committee upon the recommendations of the Department of Geography and/or the School of Earth and Ocean Sciences.

Preference will be given to:

- a. A student whose research is of potential application in Africa or South Asia;
- b. A student who has demonstrated commitment to ongoing voluntary service in the community;
- ~~c~~b. All other criteria being equal, preference will be given to an applicant in Geography.

DR. ROBERT MICHAEL PEET GRADUATE SCHOLARSHIP (REVISED-GS)

A scholarship of up to \$2,500 ~~\$2,000~~ is awarded to a graduate student in the Department of Psychology, whose focus of study is in the area of clinical neuropsychology. Approval Selection of the recipient will be made by the Faculty of Graduate Studies Graduate Admissions and Awards Committee ~~based~~ upon the recommendation of the Department of Psychology.

VANCOUVER ISLAND CHAPTER OF A.S.H.R.A.E. INC. ENDOWMENT SCHOLARSHIP* (REVISED-UG)

A scholarship is awarded annually to a student registered in a Bachelor of Engineering program in Mechanical Engineering or Civil Engineering with high academic standing in courses related to heating ventilation and air conditioning. Approval Selection of the recipient will be made by the Senate Committee on Awards upon the recommendation of the ~~Chapter Scholarship Committee which shall consist of two members of the Chapter and three representatives of the Department of Mechanical~~ Faculty of Engineering.

Respectfully submitted,

2018/2019 Senate Committee on Awards

Annalee Lepp, Faculty of Humanities, Chair

Anne Cirillo, President's Nominee

Wendy Taylor, Acting Registrar

Helga Hallgrimsdottir, Faculty of Human and Social Development

Donja Roberts, Acting Director, Student Awards and Financial Aid

Yvonne Rondeau, Scholarships Officer, Faculty of Graduate Studies

Marsha Runtz, Chair, Faculty of Graduate Studies Awards Committee

Charlotte Schallie, Faculty of Graduate Studies

Brock Smith, Peter B. Gustavson School of Business

Ciel Watt, Alumni Association

Linda Welling, Social Sciences

Curtis Whittla, Student Senator

Kelly Clark, GSS Representative

Lauren Hume (Secretary), Student Awards and Financial Aid



Date: 18 December 2018
To: Senate
From: Senate Committee on Awards
Re: **New and Revised Awards**

The Senate Committee on Awards recommends that the Senate approves and recommends to the Board of Governors the following awards:

*Administered by the University of Victoria Foundation
Additions are underlined
Deletions are ~~struck through~~

HERTA HARTMANSHENN AWARD BURSARY IN MUSIC* (REVISED-UG)

One or more ~~awards bursaries~~ are given awarded to undergraduate students entering or continuing in the School of Music. Preference will be given to students with demonstrated financial need.

GEORGE JENNINGS BURNETT MEMORIAL AWARD BURSARY* (REVISED-UG)

One or more ~~An awards are given~~ is made annually to a students specializing in organ or composition in the a Bachelor of Music program. Preference will be given to a students with demonstrated who needs financial need assistance to continue in the program.

MARY DOROTHY JONES BESSEX AWARD BURSARY* (REVISED-UG)

One or more ~~awards bursaries~~ are given awarded to entering or continuing undergraduate students in the Bachelor of Music program who are specializing in piano. Preference will be given to students with demonstrated financial need.



SCHOOL OF EXERCISE SCIENCE, PHYSICAL AND HEALTH EDUCATION ENTRANCE SCHOLARSHIP* (REVISED-UG)

A scholarship ~~is of \$300 will be awarded annually~~ to an academically outstanding undergraduate student transferring into the School of Exercise Science, Physical and Health Education from a college or university. Approval Selection of the recipient will be made by the Senate Committee on Awards upon the recommendation of the Faculty of Education.

SCHOOL OF EXERCISE SCIENCE, PHYSICAL AND HEALTH EDUCATION SCHOLARSHIP ~~AWARD~~* (REVISED-UG)

Up to tThree scholarships are awarded to academically outstanding undergraduate students continuing in the School of Exercise Science, Physical and Health Education. ~~Recipients are not eligible for other School of Exercise Science, Physical and Health Education scholarships.~~

THE SCHOOL OF EXERCISE SCIENCE, PHYSICAL AND HEALTH EDUCATION GRADUATE SCHOLARSHIP* (REVISED-GS)

A scholarship ~~of \$300~~ is awarded to an academically outstanding M.Ed. or M.A. physical education student ~~of good academic standing~~. The award will normally be given to a second year graduate student and will be based on the student's ~~academic performance and active involvement~~ with the School of Exercise Science, Physical and Health Education during the preceding year. ~~This Scholarship will not normally be given to students who are currently holding Fellowships or other major awards.~~ Approval Selection of the recipient will be made by the Faculty of Graduate Studies, Graduate Awards Committee upon the recommendation of the School of Exercise Science, Physical and Health Education.

HENRY, ANNIE AND HARRY CATHCART AWARDBURSARY FUND* (REVISED-UG/GS)

One or more awards are given ~~A number of bursaries are awarded~~ to graduate or undergraduate students in the School of Music. ~~Where practical two-thirds of the bursaries are to be awarded to students whose principal instrument is piano, and one-third of the bursaries are to be awarded to students whose principal instrument is violin, viola, or cello.~~ Preference will be given to students in descending order of priority:

- a) ~~first to graduate or undergraduate students entering undergraduate or graduate students the~~ School of Music,
- b) ~~and second to undergraduate or graduate students entering proceeding to their second or third year of studystudies in the School of Music.~~

Approval of the recipients will be made by either the Senate Committee on Awards or the Faculty of Graduate Studies, Graduate Awards Committee, upon the recommendation of the School of Music.

MBA LEADERSHIP/CITIZENSHIP AWARD (REVISED-GS)

~~Up to five~~ One or more awards of at least \$1,500 will be awarded to students who have made exceptional contributions to the educational experience of their classmates and/or to the Gustavson School of Business and the MBA program through outstanding, beyond-the-call-of-duty activities, involvement or leadership. Recipients must have completed the foundation module and be in good academic standing. ~~Four awards will be given to daytime program students and one to an evening program student.~~ Students may self-nominate, or be nominated by other students, faculty and staff. Applications must be accepted by the Sardul S. Gill Graduate School by October 31st. Approval Selection of the recipients will be made by the Faculty of Graduate Studies, Graduate Awards Committee upon the recommendation of the MBA Awards Committee Gill Graduate School, Gustavson School of Business. The awards can be given to students who have recently completed their degree.

MBA PAY-IT-FORWARD AWARD* (REVISED-GS)

One or more ~~Two~~ awards of at least \$1,200 each are awarded to students who are in good academic standing in their final year of the MBA program in the Sardul S. Gill Graduate School in the Peter B. Gustavson School of Business. ~~One recipient will be from the daytime program and one recipient will be from the evening program.~~ This award is to recognize students who facilitate and promote a welcoming and positive learning environment for all MBA students. Students may self-nominate, or be nominated by other students, faculty and staff. Applications must be accepted by the Sardul S. Gill Graduate School by October 31st. Approval Selection of the recipients will be made by the Faculty of Graduate Studies, Graduate Awards Committee upon the recommendation of the MBA Awards Committee Gill Graduate School, Peter B. Gustavson School of Business. The awards can be given to students who have recently completed their degree.

FOX MEMORIAL BURSARY* (REVISED-UG)

One or more bursaries are ~~An awarded is made to a deserving undergraduate students entering third, fourth, or fifth year in the Elementary Curriculum of the Faculty of Education, who has at least a good second class average. If funds permit, a second award will be given. Selection of the recipient is made by the Senate Committee on Awards upon the recommendation of the Faculty of Education.~~

PHOENIX THEATRE BURSARY AWARD* (REVISED-UG)

One or more ~~An awards are given~~ will be made annually to undergraduate two or more students in the Department of Theatre. Academic standing and, contribution to the Department's activities; ~~and the financial circumstances of the student~~ will be considered. Preference will be given to students with demonstrated financial need. Approval of the recipients will be made by the Senate Committee on Awards upon the recommendation of the Department of Theatre.

FINLAYSON BURSARY AWARD * (REVISED-UG)

One or more awards are given to undergraduate students entering A bursary made available by Mr. Albert Winkel of Victoria, is offered to a second or third year student in the Department of Theatre who can show evidence of financial need and outstanding ability in the area of technical theatre and who are is continuing studies in the department. Preference will be given to students with demonstrated financial need. Approval of the recipients will be made by the Senate Committee on Awards upon the recommendation of the Department of Theatre.

JEAN SALLY WILSON SCHOLARSHIP* (NEW-UG)

One or more scholarships are awarded to academically outstanding undergraduate students in the School of Nursing who have a demonstrated interest in maternal health. Students registered in at least 4.50 academic units are eligible for this scholarship. Approval of the recipient(s) will be made by the Senate Committee on Awards upon the recommendation of the School of Nursing.

Respectfully submitted,

2018/2019 Senate Committee on Awards

Annalee Lepp, Faculty of Humanities, Chair

Anne Cirillo, President's Nominee

Wendy Taylor, Acting Registrar

Helga Hallgrimsdottir, Faculty of Human and Social Development

Donja Roberts, Acting Director, Student Awards and Financial Aid

Yvonne Rondeau, Scholarships Officer, Faculty of Graduate Studies

Marsha Runtz, Chair, Faculty of Graduate Studies Awards Committee

Charlotte Schallie, Faculty of Graduate Studies

Brock Smith, Peter B. Gustavson School of Business

Ciel Watt, Alumni Association

Linda Welling, Social Sciences

Curtis Whittla, Student Senator

Kelly Clark, GSS Representative

Lauren Hume (Secretary), Student Awards and Financial Aid



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Valerie Kuehne, Vice-President Academic and Provost

A handwritten signature in blue ink that reads "Valerie Kuehne".

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Proposal to Discontinue the Diploma in Fine Arts

Basis for Jurisdiction: Senate Committee on Planning meeting December 7, 2018
Senate meeting January 11, 2019

Previous Consultation: At its meeting on January 11, 2019, Senate approved and recommended that the Board of Governors approve the proposal to discontinue the Diploma in Fine Arts as described in the document "Discontinuance of Diploma in Fine Arts". The proposal was approved by the Senate Committee on Planning on December 7, 2018.

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the discontinuation of the Fine Arts Diploma, as described in the document "Discontinuation of Diploma in Fine Arts", effective immediately.

Background

The Fine Arts Diploma Program delivered by the Division of Continuing Studies in partnership with the Faculty of Fine Arts was developed in 1986 in response to a community interest in part-time studies in fine arts. In October of 2013, the diploma program was brought to the Senate Committee on Continuing Studies with a recommendation to discontinue the program. While in the previous years, several actions had been taken with an interest in revitalizing the program, enrollments remained extremely low resulting in only four learners graduating in the most recent 6 years of program delivery.

As part of cycle 1 curriculum changes within the Faculty of Fine Arts, the Fine Arts Diploma Program will be formally sunset and removed from the University of Victoria Calendar. This will occur after the graduation of the last learner in the program this spring. The Division of Continuing Studies continues to offer a range of community courses in the arts including: music, visual arts, writing, art history, and theatre.

Attachment(s): Proposal to Senate, dated December 19, 2018, to discontinue the Fine Arts Diploma.



Date: December 19, 2018
To: Senate
From: Senate Committee on Planning
Re: **Proposal to Discontinue the Diploma in Fine Arts**

At its meeting of December 7, 2018, the Senate Committee on Planning considered the proposal to discontinue the Diploma in Fine Arts, as described in the memorandum dated October 16, 2018.

The following motion is recommended:

That Senate approve and recommend to the Board of Governors that it also approve, the proposal to discontinue the Diploma in Fine Arts, as described in the memorandum dated October 16, 2018.

Respectfully submitted,

2018/2019 Senate Committee on Planning

Nancy Wright, Associate Vice-President Academic Planning (Chair)

Gillian Calder, Faculty of Law

David Castle, Vice-President Research

Jo-Anne Clarke, Division of Continuing Studies

Merwan Engineer, President's Nominee

Mauricio Garcia-Barrera, Faculty of Graduate Studies

Andrea Giles, Cooperative Education and Career Services

Nicole Greengoe, Registrar (on leave)

Rishi Gupta, Faculty of Engineering

Robin Hicks, Faculty of Science

Ashlee Kirby, Student Senator

Valerie Kuehne, Vice-President Academic and Provost

Graham McDonough, Faculty of Education

Patrick Nahirney, Division of Medical Sciences

Sang Nam, Peter B. Gustavson School of Business

Abdul Roudsari, Faculty of Human and Social Development

Dan Russek, Faculty of Humanities

Nilanjana Roy, Faculty of Social Sciences

Ralf St. Clair, Dean, Faculty of Education

Victoria Wyatt, Faculty of Fine Arts

Carla Osborne, GSS Representative

Ada Saab, Acting Associate University Secretary

David Capson, Faculty of Graduate Studies

Sandra Duggan (Secretary), Office of the Vice-President Academic and Provost

Discontinuance of Diploma in Fine Arts

Dean's Name: Jo-Anne Clarke, Dean, Division of Continuing Studies Eva Baboula, Acting Dean, Faculty of Fine Arts	Signature Dean: Original signed by Jo-Anne Clarke and Eva Baboula
Contact Name and Number:	
Tania Muir, Director, Cultural Management Programs, Division of Continuing Studies	8462
Eva Baboula, Office of the Dean, Faculty of Fine Arts	7756
Date approved by Department: N/A	Chair / Director:
Date approved by Faculty Curriculum: 23 October 2018 (Fine Arts UG Curriculum Committee)	Dean or Committee Chair: Eva Baboula



MEMO

Date: October 16, 2018

To: Dr. Nancy Wright, AVP Academic Planning

From: Tania Muir, Program Director, Cultural Management Programs

Re: Discontinuance of the Fine Arts Diploma Program

CC: Dr. Eva Baboula, Associate Dean, Faculty of Fine Arts
Sarah Reicken, Fine Arts Undergraduate Advisor
Dr. Jo-Anne Clarke, Dean, Division of Continuing Studies

The Fine Arts Diploma Program delivered by the Division of Continuing Studies in partnership with the Faculty of Fine Arts was developed in 1986 in response to a community interest in part-time studies in fine arts. In October of 2013, the diploma program was brought to the Senate Committee on Continuing Studies with a recommendation to discontinue the program. While in the previous years, several actions had been taken with an interest in revitalizing the program, enrollments remained extremely low resulting in only four learners graduating in the most recent 6 years of program delivery.

As part of cycle 1 curriculum changes within the Faculty of Fine Arts, the Fine Arts Diploma Program will be formally sunset and removed from the University of Victoria Calendar. This will occur after the graduation of the last learner in the program this spring. The Division of Continuing Studies continues to offer a range of community courses in the arts including: music, visual arts, writing, art history, and theatre.



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Valerie Kuehne, Vice-President Academic and Provost

A handwritten signature in blue ink, appearing to read "Valerie Kuehne".

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Proposal to Establish a Minor in Data Science

Basis for Jurisdiction: Senate Committee on Planning meeting December 7, 2018
Senate meeting January 11, 2019

Previous Consultation: At its meeting on January 11, 2019, Senate approved and recommended that the Board of Governors approve the proposal to establish a Minor in Data Science, as described in the document "Minor in Data Science". The proposal was approved by the Senate Committee on Planning on December 7, 2018.

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the establishment of a Minor in Data Science, as described in the document "Minor in Data Science", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

Strategic Relevance

To train students for the rapidly growing field of Data Science. Data Science is featured as one of the eight priority research areas in UVic's Strategic Research Plan. There is clear mandate for training of undergraduate students with expertise in this field.

Overview/nature of the Minor

Designed for students with a quantitative interest and an interest in learning from data. This Minor will open the door to the field of data science and give them the top required skills of:

- Statistics,
- Computer programming, and
- Data base management

Alignment with the university's mission and strategic plan

UVic's strategic research plan lists "Data Science and cyber-physical systems" as one of UVic's eight areas of Dynamic Research Capability and states that "Large volumes of structured and unstructured data need analytics to extract meaningful patterns and relationships. Data Science has emerged as an important field in its own right, and enables other fields of research such as climate science, oceanography, physics and digitally-based research in the humanities and social sciences."

We also note that one of UVic's Strategic Priorities is to enhance the integration of research and education. "UVic will promote and support the integration of research and educational programs to create dynamic learning opportunities that reflect UVic's extraordinary environment and contribute to the vital impact of research". We feel that students in this Minor program would potentially have skills that will allow them to work with data science researchers at UVic thereby increasing their ability to obtain an experiential learning experience.

UVic's Strategic Framework (Strategy 3.5) states the goal to "Develop and evolve high-quality academic programs that align with UVic strength and directions; are responsive to student interest and social need; provide students with meaningful opportunities to engage with issues from diverse perspectives; and are financially sustainable."

Senate/academic considerations

No new courses are needed for this proposed program.

Demand and availability

We expect that a small percentage of students who would otherwise do a Minor in Statistics will prefer this option. We know from experience that students ask our advisor what courses to take to obtain data science skills. There is also a possibility that the existence of such a Minor will attract students to UVic who might not otherwise have come.

Resource implications

None, as all courses currently exist. If enrolment grows beyond the 5-20 students per year, additional sections of third and fourth year statistics courses might be necessary. A future data base management course might need development if CSC 371 is not offered regularly. A future Machine Learning course should be developed and offered regularly at UVic to support this program. We are currently offering this course as a special topics course with recognition that

this removes resources from offering a different fourth year course. We would likely need resources in the future to support this.

Other relevant factors

A small number of students might be registering in CS or HINF courses to obtain data base training. CSC 110/115 might see increased registration; however, we think students who are likely to choose this Minor are already a part of the CSC 110/115 numbers. Upper division courses in CS, ECE, ECON, and STATS might see a slight increase in registration.

Attachment(s): Proposal to Senate, dated December 19, 2018, to establish a Minor in Data Science.



Date: December 19, 2018
To: Senate
From: Senate Committee on Planning
Re: **Proposal to Establish a Minor in Data Science**

At its meeting of December 7, 2018, the Senate Committee on Planning considered the proposal to establish a Minor in Data Science, as described in the document "Minor in Data Science".

The following motion is recommended:

That Senate approve and recommend to the Board of Governors that it also approve, the proposal to establish a Minor in Data Science, as described in the document "Minor in Data Science", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

Respectfully submitted,

2018/2019 Senate Committee on Planning

Nancy Wright, Associate Vice-President Academic Planning (Chair)

Gillian Calder, Faculty of Law

David Castle, Vice-President Research

Jo-Anne Clarke, Division of Continuing Studies

Merwan Engineer, President's Nominee

Mauricio Garcia-Barrera, Faculty of Graduate Studies

Andrea Giles, Cooperative Education and Career Services

Nicole Greengoe, Registrar (on leave)

Rishi Gupta, Faculty of Engineering

Robin Hicks, Faculty of Science

Ashlee Kirby, Student Senator

Valerie Kuehne, Vice-President Academic and Provost

Graham McDonough, Faculty of Education

Patrick Nahirney, Division of Medical Sciences

Sang Nam, Peter B. Gustavson School of Business

Abdul Roudsari, Faculty of Human and Social Development

Dan Russek, Faculty of Humanities

Nilanjana Roy, Faculty of Social Sciences

Ralf St. Clair, Dean, Faculty of Education

Victoria Wyatt, Faculty of Fine Arts

Carla Osborne, GSS Representative

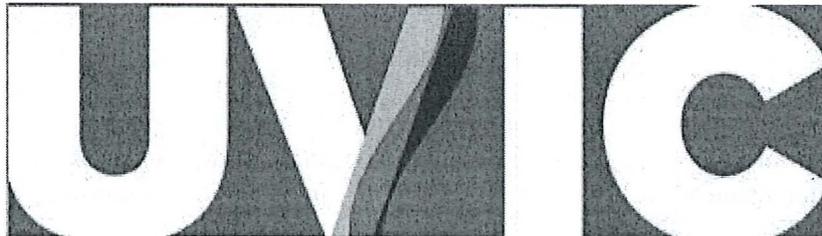
Ada Saab, Acting Associate University Secretary

David Capson, Faculty of Graduate Studies

Sandra Duggan (Secretary), Office of the Vice-President Academic and Provost

Minor in Data Science

Dean's Name: Rob Lipson	Original signed by Rob Lipson
Contact Name and Number: Laura Cowen X6152	
Date approved by Department: September 11, 2018	Head: Marcelo Laca Original signed by Marcelo Laca
Date approved by Faculty: October 17, 2018	Dean or Faculty Chair: Robin Hicks Original signed by Robin Hicks



FULL PROPOSAL (up to 5,000 words plus appendices)

A. Identification of new Minor

Name, Location, Academic units
(Faculties, departments, or schools)
offering the new Minor

Name: Minor in Data Science
Academic unit: Mathematics and Statistics, Faculty of Science

Anticipated start date

September 2019

Name, title, phone number and email
address of contact person

Laura Cowen (Curriculum Chair, Math and Stats)
Tel: 6152, email: lcowen@uvic.ca

B. History and context of the Minor

More than 50 years ago, statistician John Tukey called for a reformation of academic statistics where he pointed to an as-yet unrecognized science whose subject of interest was learning from data, or data analysis. Later, statisticians John Chamber, William Cleveland and Leo Breiman independently urged academic statistics to expand its boundaries beyond the classic domain of theoretical statistics. Chambers called for more emphasis on data preparation and presentation; Breiman called for emphasis on prediction rather than inference. Cleveland suggested the catch name "Data Science" for his envisioned field.

Today, Data Science programs at the Minor, Major, and Graduate levels are popping up all over the country. UVic would benefit from providing programs that interest students. UVic is currently engaged in data science research across campus and these sorts of programs could permit students to become involved. The Faculty of Engineering recently developed a Master's in Applied Data Science (MADS) program.

Creating a Minor in Data Science would let interested students increase their skill set leading to a career in a domain requiring data science. We are interested in creating an undergraduate Major degree in Data Science. We have been attempting to work with the Department of Computer Science to convert our combined Major in Computer Science and Statistics. Part of this process has been the development of STAT 123- Data Science and we are continuing to work on this program. For this Minor program, our goal is to not only provide a program for statistics or computer science students, but have a broader vision around possible students that might include Majors in Economics, Engineering, Physics, Health Information Science, Biology, Earth and Ocean Science, Geography, etc.

We feel that a Minor in Data Science would provide a student interested in a quantitative domain to increase their skill set with a reasonable number of courses. We have focused on three key components of data science in this skill set 1) basic understanding of statistical modeling and inference, 2) R programming language (and possible other languages), and 3) data base management.

C. Aims, goals and/or objectives

Distinctive characteristics

Our aim is to provide a Minor program targeted at a broad range of students with the objective of teaching them a solid foundation in data science: statistics, computer programming, and database management.

Anticipated contribution to the UVic, Faculty, and academic unit's strategic plans

UVic's strategic research plan lists "Data Science and cyber-physical systems" as one of UVic's eight areas of Dynamic Research Capability, and states that "Large volumes of structured and unstructured data need analytics to extract meaningful patterns and relationships. Data science has emerged as an important field in its own right and enables other fields of research such as climate science, oceanography, physics and digitally based research in the humanities and social sciences."

The Minor will implement one of UVic's Strategic Priorities by enhancing the integration of research and education. "UVic will promote and support the integration of research and educational programs to create dynamic learning opportunities that reflect UVic's extraordinary environment and contribute to the vital impact of research". We feel that students in this Minor program would potentially have skills that will allow them to use data science with researchers at UVic thereby increasing their ability to obtain an experiential learning experience. Colleagues in this department work in applied data science areas such as wildlife population dynamics, biostatistics, genomics, neuroimaging statistics, spatial statistics, statistical computing, machine learning, and big data problems.

The Minor will implement UVic's Strategic Framework (Strategy 3.5), by providing a high-quality academic program that aligns with UVic strengths and directions; are responsive to student interest and social need; provide students with meaningful opportunities to engage with issues from diverse perspectives; and are financially sustainable.

Target audience, student and labour market demand

The targeted audience for this program is students with a solid quantitative background who can handle the broad skill set of a data scientist. We hope to attract a broad array of students in the fields of mathematics, statistics, computer science, economics, physics, health and information science, earth and ocean science, geography, and more.

Market demand for the data scientist skill set is high. Looking at job boards such as *indeed* or *glassdoor* there are numerous job adds for placements in Victoria with the term data science or data analyst in the title.

LinkedIn lists the top skills in data science as:

- Machine learning
- Data analysis
- Data mining
- Statistics
- Statistical Modeling
- Deep Learning

- Data Visualization
- Predictive Modeling

The top computer languages/skills associated with data science as:

- R
- Python
- SQL
- Matlab
- LaTeX
- Hadoop
- SAS

Include plans for student recruitment, retention, and success

The existence of the program in the Calendar will likely attract a small cohort of students in itself. Plans are currently underway to have a website linked to our main Department website describing data science. We can market this program through this site. We will also work closely with other Departments to promote this Minor within their departments. We will also promote the program in outreach to high schools and in recruitment fairs like 'Experience UVic'.

D. Admission requirements

Include plans for admissions and transfer within BC system where appropriate

See description of admission requirements in Section F ***Curriculum Design***.

E. Areas of specialization and evidence of adequate faculty complement (Include short faculty cv information in an appendix)

No new courses are anticipated at this point to support this program, so no new faculty resources are required. However, one challenging issue in the program is obtaining the database programming and management skills. In the short term, we rely on other departments through CSC 370, 371, or HINF 200. CSC 370 is directed towards program students and requires 4-5 “hidden pre-requisites” that a Minor student might not have. HINF 200 has 2 “hidden pre-requisites” and is capped at 54 students per year due to room limitations (the largest computer room on campus holds 54 students). HINF 200 is also given first access to their program students and they only have resources to fund a second section if they have enough program students to warrant it. With this in mind and if this program becomes very popular, we would need additional resources to develop and regularly offer a database management course.

- Stat 123 Data Science was launched in September 2017.
- CS 110 and 115 are core courses for CSC program students and are offered regularly.
- Math 110, 208, 211 are courses required by other programs, thus they are offered regularly.
- STAT 260, 261, 256, 359 are long offered courses within the department and they continue to be offered regularly.
- BIOL 330 is now required for most Biology programs and is a long-standing course offered regularly.
- Econ 246 is required by econ majors, again offered regularly.
- CSC 370 and HINF 200 are courses required by program students, offered regularly.
- CSC 371 is a course offered to non-major students, thus the future of offerings may not be as stable. If this is the case we may have to develop a data base management course within our department.

One course that is not included in the Minor and does not exist at UVic is a course in Machine Learning. CSC has offered this as a Special Topics courses and our department is offering a version this Fall taught by Xuekui Zhang. This will likely become an upper division requirement of the Minor program.

The Department has a critical mass of Faculty members in this field including:

- Eric Cormier: Extreme value theory, dependence modelling, copulas
- Laura Cowen: Ecological statistics, capture-recapture, hidden Markov models, batch marking models
- Mary Lesperance: Statistical inference, biostatistics, industrial statistics, statistical methods for genomics, mixture models
- Farouk Nathoo: Bayesian methods, statistical computing, spatial statistics, high-dimensional data, neuroimaging statistics
- Min Tsao: nonparametric statistics, empirical likelihood theory, applied statistics
- Fan Wu (temporary ATP): empirical likelihood theory, applied statistics
- Xuekui Zhang: big data problems, machine learning, Bayesian hierarchical models, statistical genomics, design of clinical trials
- Julie Zhou: robust statistics, robust regression design, optimal design of field experiments, fractional factorial design, statistical computing

The Department has plans to hire a Data Scientist when our next position becomes available.

F. Curriculum design

Schedule of course delivery

- **Identify the prescribed set of core and prerequisite courses.**
- **Identify which courses already exist at UVic and which new courses will be implemented as a result of the program.**

No new courses will be implemented as a result of this program. The schedule of course delivery is as follows:

Minor in Data Science

The Department of Mathematics and Statistics offers a Minor in Data Science. This rigorous quantitative program is designed to provide students with baseline skills in statistics, computer science, and database management. Students are also encouraged to explore data science within their unique domains via electives.

Program Requirements

Students are recommended to have a minimum grade of 73% or higher in STAT 123, CSC 110, CSC 115 and one of MATH 100, 102, or 109.

A student may declare a Minor in Data Science by completing the requirements for an Honours Program or a Major Program in another discipline together with the following set of courses:

STAT 123	1.5
CSC 110, 115	3.0
One of MATH 100, 102, 109	1.5
One of MATH 110, 208, 211	1.5
Either STAT 260 and STAT 261; or STAT 359 and one of STAT 256, BIOL 330/ES 344, ECON 246	3.0
One of CSC 370, 371, HINF 200	1.5
Electives ^{1,2}	4.5
Total ³	16.5

¹ Electives chosen from the following: AHVS 310C, BIOL 330, CSC 475, 498, ECE 403, 435, 485, ECON 365, 366, 468, GEOG 322, 328, 418, HINF 201, SENG 474, STAT 353, 354, 355, 359, 453, 454, 455, 456, 457, 458, 459, 460, 464, 465, 466.

² With permission of the Department a student can also choose from CSC 482A, 482B, 482C, 482D, 484A, 484B, 484C, 484D, 498, ECON 486, ES 482, GEOG 428, STAT 498.

³ Some of the required courses have pre-requisites that may not be in a student's Major program. A student may have to take additional units to complete this Minor program.

The selected courses must include at least 9.0 units numbered 200 or higher that do not form part of the requirements of the Honours or Major or General or Option Program. Any course disqualified from the Minor Program by overlap with the requirements of the Honours or Major or General or Option Program may be replaced by another Data Science topics course at the same level or higher. See Faculty of Science "Minor Program" regulations (page 243). Only one Minor may be declared on any degree program.

Delivery methods (e.g., plans for distance education, or computer assisted delivery) as appropriate to targeted student segments

All courses are run as usual, on campus, face to face.

Linkages between the learning outcomes and the curriculum design

The proposed curriculum has been designed to allow student to build top skills required by data scientists. The term data science can be broadly applied as seen in the Electives course lists allowing students great flexibility in acquiring skills they need in various application areas.

Integration of opportunities for experiential learning or other forms of community engagement in the learning opportunity

STAT 123 Data Science is run with experiential learning in mind. Students work on a project involving data that comes from a community source such as a local non-profit association. Similarly, STAT 359 is also a project-oriented course where students devise their own study, collect and analyse data using techniques from the course and then present and write up their study in report or journal article form.

Experiential learning could come in the form of Co-op work term in either statistics, computer science, or possibly other areas. With the Mathematics and Statistics Co-op house within Science, there is more support for these students.

Department co-op representatives will work with the co-op office to find relevant co-op opportunities for these students.

Special purpose experiential courses will not be created specifically for this program at the outset. Directed Studies courses (such as STAT 498) offer the opportunity for project-based experiential learning.

Residency requirements and anticipated times to completion

This is designed to be completed in parallel with a 4-year degree program.

Policies on student evaluation, candidacy exams, and oral examinations

Same as existing programs.

Plans for integration of teaching and research

Undergraduate research projects supervised by Statistics faculty are an excellent prospect. Stat 498 could be used for this purpose. An interested Computer Science faculty member might offer CSC 498.

Summer research students under the SURA or NSERC programs might have good uptake for these highly skilled students.

Describe any plans to develop international or Indigenous content or perspectives

As no new courses will be created initially, there is no immediate development of international or indigenous content or perspectives beyond what already exists in the current courses. International or indigenous content could come in the form of an applied project either through Co-op or a directed studies course.

G. Enrolment plan for the length of the Minor (Include a table of anticipated annual intake and graduates including those in any existing program)

This program recommends students have a 73% (B grade) in the lower level core courses. We see this as a rigorous program where due to the diversity in skills required, would be difficult to complete by a weaker student.

Table 1. Annual anticipated intake for the next 5 years.

Year	Anticipated Intake	Anticipated Graduates
2019	5	0
2020	5	0
2021	10	5
2022	10	5
2023	20	10

H. Funding plan for the length of the Minor

Resources required for Faculty appointments

- **Currently funded faculty resources**
- **New faculty resources required**

Currently none. However, if this program grows significantly, we might look at offering more sections of upper division courses, especially in statistics where we are already seeing a large increase in student numbers. Ultimately, an increase in student numbers would lead to new faculty resources required that could teach the affected courses.

If CS 371 gets removed from the calendar, or is not offered on a regular basis, we may be required to create our own data base management course. This would require either sessional funding, or a faculty commitment to teach this course.

A similar issue arises with HINF 200. Here the course is offered regularly, but the room required has a maximum of 54 students and spots are first offered to HINF program students. Again, we may require faculty resources to offer a similar data base management course housed in Mathematics and Statistics.

If a course in Machine Learning becomes regularly offered to support this program, we may require TA support of this course and/or sessional funding so that it can be resourced by a Faculty member.

Resources required for staff appointments

None. However, if class sizes grow significantly, this may require reassessment of the current TA allocations.

Resources required for space

Currently none. However, there are currently no physical office spaces to hold additional members of our department. In the event that we need additional faculty to run a database management course this will become an issue.

For students seeking experiential learning opportunities within the department through SURA or NSERC, we have no space available to house additional students.

By 2023, the new capital campaign for student housing will have large classrooms available for use. Large classes such as CSC 110 will be able to accommodate more students.

Resources required from Library

None.

I. Related Minors within UVic or other British Columbia post-secondary institutions

At UVic:

Minor in Statistics

Minor in Computer Science

Within BC:

Most universities now offer Minors in Statistics and Computer Science. None offer Minors in Data Science

Within Canada:

Calgary: <https://www.ucalgary.ca/science/data-science/minor-data-science>

Within US:

MIT: <https://stat.mit.edu/academics/minor-in-statistics/>

Stanford: <https://statistics.stanford.edu/data-science-minor>

Rhode Island: <https://www.cs.uri.edu/academics/undergraduate-studies/minor-in-data-science/>

Berkley: in preparation for Spring 2019.

J. Evidence of support and recognition from other Faculties (Provide copies of letters of support in an appendix)

Appendix A: Internal Supporting Letters

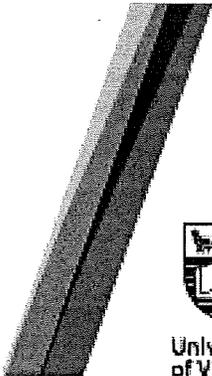
From: Lisa SurrIDGE - Humanities Associate Dean, Academic
Sent: October 24, 2018 2:37 PM
To: Robin Hicks <rhicks@uvic.ca>
Cc: Chris as DeanHums <deanhums@uvic.ca>
Subject: Re: minor in Data Science - request for letter of support

Dear Robin: I am writing on behalf of the dean to support this program. The Humanities would be pleased to see a minor in Data Science and has no concerns about its impact on our faculty.

I do have one edit to suggest: I think there is a word missing in the program description.

The selected courses must include at least 9.0 units numbered 200 or higher that do not form part of the requirements of the student's Honours or Major or General or Option Program. Any course disqualified from the Minor Program by overlap with the requirements of the Honours or Major or General or Option Program may be replaced by another Data Science topics course at the same level or higher. See Faculty of Science "Minor Program" regulations (page 243). Only one Minor may be declared on any degree program.

With all best wishes—Lisa.



University
of Victoria

Dr. Lisa SurrIDGE
Associate Dean Academic
Faculty of Humanities
University of Victoria
Office: Cle C309
T 250-721-7246
F 250-721-7059
web page



Office of the Vice-President, Research
Michael Williams Building, Room A110 PO Box 1700 STN CSC Victoria BC V8W 2Y2 Canada
T 250-721-7973 | F 250-472-5477 | E vprasst@uvic.ca | uvic.ca/research

November 9, 2018

Dr. Robin G. Hicks
Associate Dean (Academic), Faculty of Science
Professor of Chemistry
University of Victoria

Dear Dr. Hicks:

I am writing to convey my strong support for the proposed undergraduate minor in data science. As you indicate in the proposal, many universities already have minors and majors in data science. It is overdue at UVic to have undergraduate programming in this area. The Faculty of Science certainly has the academic strengths to provide the minor, and I expect that student demand will be strong. Over a short period of time the demand will no doubt validate the idea of offering both a minor and a major in data science. It remains to be seen whether collaborative delivery of data science programs with the Faculty of Engineering can be developed over time. While I do not necessarily see this as an objective in itself, avoiding duplicative efforts, and keeping the lines of communication open with Engineering is important, particularly since they have launched the MADS program.

The Office of the Vice-President Research will remain committed to supporting data science programs and related research, and we look forward to the success of the proposed minor in data science.

Yours truly,

Original signed by David Castle

Dr. David Castle
Vice-President Research

DC:jm

From: hsddean

Sent: October 24, 2018 5:15 PM

To: Robin Hicks <rhicks@uvic.ca>

Subject: Re: minor in Data Science - request for letter of support

Dear Robin,

HSD is pleased to support this proposal,

Tricia

Patricia Marck RN, PhD

Professor & Dean

Faculty of Human and Social Development

University of Victoria

hsddean@uvic.ca

Assistant Judi Baker: 1-250-721-8050

hsddeanasst@uvic.ca

From: Fine Arts Dean

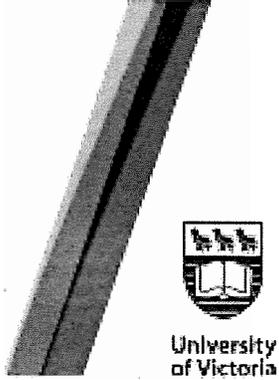
Sent: October 26, 2018 10:25 AM

To: Robin Hicks <rhicks@uvic.ca>

Cc: Fine Associate Dean <fineassociatedean@uvic.ca>; Fine Arts Deans Assistant <fineasst@uvic.ca>

Subject: RE: minor in Data Science - request for letter of support

Thanks so much, Robin. No concerns from Fine Arts – best wishes as you move through the stages of approval.
Susan



Dr. Susan Lewis
Dean, Faculty of Fine Arts
University of Victoria
T 250-721-7755
finedean@uvic.ca
www.finearts.uvic.ca



University
of Victoria

PETER B. GUSTAVSON
School of Business

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DATE: 25th October, 2018
TO: Robin Hicks, Associate Dean (Academic), Faculty of Science
FROM: Saul Klein, Dean, Gustavson School of Business
RE: Minor in Data Science

Thanks for sending me a copy of your proposal for a new Minor in Data Sciences. I believe that this is an area of strong need in our economy and graduates will be well-positioned for success. The program appears to be well-designed and draws on the existing capacity of the department of Mathematics and Statistics.

I am happy to offer my support for this program.

Original signed by Saul Klein

Appendix B. External Supporting Letters

From: UBC-CPSC AH Ugrad <ah-ugrad@cs.ubc.ca>

Date: Saturday, October 13, 2018 at 11:28 PM

To: mschair <mschair@uvic.ca>, "Greif, Chen" <greif@cs.ubc.ca>

Cc: 'Patrice Belleville' <patrice@cs.ubc.ca>, Laura Cowen <lcowen@uvic.ca>

Subject: RE: Proposed Data Science Minor in Mathematics and Statistics at UVic

Hi folks,

Patrice (our curriculum rep) and I (the Associate Head for Undergraduate Affairs) and I have had a chance to take a look at the proposal. We have a number of concerns.

Patrice raises some concerns about the number of credits, particularly:

1. Of the 16.5 units (33 UBC credits) required, 7.5 (45%) can be at the first year level. Only 3 of the 12 units required for a Minor in Statistics can be at the first year level. Admittedly, 9 of the 18 credits for a Minor in Computer Science can be at the first year level, leaving the same number (9 units) at the 2nd, 3rd and 4th year levels.
2. Only 3 units (18%) are required to be at the third or fourth year level. This is lower than the Minor in Statistics and the Minor in Computer Science, both of which require at least 4.5 units.

Bringing the proposed Minor in line with other University of Victoria minors would mean requiring at least 4.5 units at the third or fourth year levels (this is still lower than minors at UBC by a factor of 2)

A second concern is that the proposal seems to be weighted heavily to the statistics side of data science; it has relatively little of the computer science side. In particular, in the annotated version of the document that you sent, I note that the list of approved electives seem to include all third and fourth year stats courses but two, but only two computer science courses - also, one of the CSC courses that appears in the list of totally approved electives also appears in the list of only maybe approved electives - which is it meant to be in?

I'm happy to have you try to convince me that this is an appropriate balance given the course offerings available; after all, perhaps there are factors at play that I don't understand - I had to annotate the courses myself since, of course, I'm not familiar with UVic's #s. So perhaps I'm missing some nuance. But it does seem particularly odd to me that CSC 482A was taught as Machine Learning (which seems pretty core to Data Science to me) and is only on the list of "may be able to be taken subject to approval" courses.

Cheers,
Rachel



a place of mind
THE UNIVERSITY OF BRITISH COLUMBIA

William J. Welch, Professor and Interim Head
Department of Statistics
University of British Columbia
Room 3182, 2207 Main Mall
Vancouver, B.C., Canada V6T 1Z4
Tel: (604) 822-3339
Fax: (604) 822-6090
will@stat.ubc.ca, www.stat.ubc.ca/~will

October 26, 2018

Professor Marcelo Laca
Acting Chair
Department of Mathematics and Statistics
University of Victoria

Dear Professor Laca,

Re: University of Victoria's Minor in Data Science

I am writing to support the proposed Minor in Data Science at the University of Victoria. UBC and many other universities have recognized the opportunities in data science in terms of both teaching and research. Hence, UBC is moving substantially into this area. It is only natural that your unit is doing likewise.

At UBC we are now in the third year of a professional Master's program. Demand has been strong from prospective students, such that the admission rate is low despite ramping up the number of spaces. Employment in data science was hugely successful for the first cohort of graduates, and we believe it will prove to be strong for the second when survey results become available.

At the undergraduate level there is also strong demand, and we are putting resources into teaching data science. We have a first-year introduction to data science course coming on stream in the new year, and others are planned. Our goal, like yours, is a minor program.

Your cooperation with computer science to deliver the program is eminently sensible. We have done the same in all our initiatives; data-science lives in both camps. Between your two departments you have a coherent minor covering all the bases it seems.

Overall, like you, we believe that there is a bright future for data science. Student demand is there, as are exciting job prospects calling for these skills. I wish you well in this endeavour.

Sincerely,

Original signed by William Welch

William Welch, Professor and Interim Head

From: Thomas Loughin <thomas_loughin@sfu.ca>
Date: Tuesday, October 9, 2018 at 9:26 PM
To: mschair <mschair@uvic.ca>
Cc: Laura Cowen <lcowen@uvic.ca>
Subject: Re: Proposed Data Science Minor in Mathematics and Statistics at UVic

Dear Marcelo,

I just realized that I never acknowledged that I would take care of this for you. I should have replied sooner.

I did solicit opinions from my department and got one very lucid and supportive comment:

"They recognize that it can't be everything so they focus on some basic skills in the main key areas of statistics, R programming, and database management. This is a very reasonable program and should boost the skills of a diverse set of people from other faculties, and that seems to be one of the major areas of growth in industry right now."

I think that this pretty much says it all. We support the program. Do you need a more formal document from me?

Regards,

-Tom.

Thomas M. Loughin, P.Stat. (SSC), PStat® (ASA)
Professor and Chair, Statistics and Actuarial Science
Simon Fraser University
<http://people.stat.sfu.ca/~tloughin/STATPAGE.html>
[Analysis of Categorical Data With R Webpage](#)

November 16, 2018

Dr. Marcelo Laca
Department of Mathematics and Statistics
University of Victoria
David Turpin Building A425
3800 Finnerty Road
Victoria, BC V80 5C2

Dear Dr. Laca,

This letter is to express strong support for your department's proposed Data Science Minor program. I am an Associate Professor in the School of Computing Science at Simon Fraser University, Director of Undergraduate Programs for the School, and a member of the steering committee for SFU's newly introduced Data Science major program.

Your proposal correctly points out that many universities are introducing Data Science programs, SFU being among them. The introduction of these programs reflects the use of the term in the popular press and, more importantly, the growing needs of employers for people with data analysis skills. In a world where organizations of all sizes and types have rapidly growing collections of data and an increased desire to make good use of these, universities should be ensuring a supply of graduates with appropriate education.

In this context, a minor program serves a function distinct from major programs. There is a need for workers within all domains who, in addition to being expert in their fields, have data analysis background beyond the small number of statistics courses required in many programs. This is the case because a wide variety of workers will need to perform more data analysis tasks than in the past, but more importantly, they will need to have enough background to understand appropriate application of data analysis within their fields, even while the actual analysis may be done by others.

This is a situation analogous to that in Computing Science. There is growing demand for computer science graduates, but also a growing need for graduates in other areas to know enough about computing to make educated decisions about its application in their fields. For this reason, we have decided to make increasing the size our minor program a priority over the next few years.

The design of your program appears very suitable, with an appropriate selection of courses and range of applicable electives. We have found strong interest in our new data science program within our student

body, and our Professional Master's program in Big Data has been very successful, with many good applicants and interest from employers. I strongly support the creation of your Data Science minor program, and expect it will be very successful. Please feel free to contact me with any questions that may arise.

Sincerely,

A handwritten signature in black ink, appearing to read "D. Mitchell". The signature is fluid and cursive, with the first name "D." and the last name "Mitchell" clearly distinguishable.

David Mitchell

Director, Undergraduate Programs,

School of Computing Science,

mitchell@cs.sfu.ca

778-782-6673

To: Faculty of Science

From: LillAnne Jackson
Associate Dean, Undergraduate Programs
Faculty of Engineering

Date: November 29, 2018

Re: Proposed Minor in Data Science

This letter is in support of the proposed Minor in Data Science being proposed by the Department of Mathematics and Statistics in the Faculty of Science.

A review of the Data Science Body of Knowledge and developing model curriculum models (links below) indicate that Data Science is a developing field that is clearly at the intersection of the current Statistics and Computer Science curriculums. Our Computer Science department has raised some concerns on the proposed curriculum, a number of which have been addressed. We will continue to encourage to two curriculum committees to consult together as this minor program develops.

In addition, the Faculty of Engineering looks forward to working with the Faculty of Science to consider the development a full *Major in Data Science* program that, we believe, should be developed as a program shared between the departments of Computer Science and Mathematics and Statistics.

Sincerely,


LillAnne Jackson

Curriculum Guidelines for Undergraduate Programs in Data Science
Park City Mathematics Group (PCMI)
<https://www.stat.berkeley.edu/~nolan/Papers/Data.Science.Guidelines.16.9.25.pdf>

Edison Data Science Framework
Part 3, Data Science Model Curriculum, Release 2
http://edison-project.eu/sites/edison-project.eu/files/attached_files/node-447/edison-mc-ds-release2-v03.pdf

Data Science Body of Knowledge -- Edison
http://edison-project.eu/sites/edison-project.eu/files/filefield_paths/edison_ds-bok-release2-v04.pdf

response to Computer Science comments (see next document)

1. *CSC and SENG students will have a hard time to find meaningful replacements for crucial courses in the program, e.g. CSC 110, 115, 370.*

The wording of the Minor in Data Science borrows languages from other Minors on campus that do not require 100 level courses to be replaced. Specifically it says:

“The selected courses must include at least 9.0 units numbered 200 or higher that do not form part of the requirements of the Honours, Major, or General program, or Option. Any course disqualified from the Minor Program by overlap with the requirements of the Honours, Major, General, or Option Program may be replaced by another Data Science topics course at the same level or higher. See Faculty of Science “Minor Program” regulations (page 243). Only one Minor may be declared on any degree program.”

This language is currently present in our Minor in Mathematics (p. 271), Minor in Statistics (p. 272).

This is the same practice as is done in the Minor in Computer Science, however the wording is slightly different (p. 109): “Note that 200-level and higher courses that fulfill requirement for a Minor cannot form part of the requirements for the Major or Honours -degree. Any such course in the Minor program may be replaced by another Computer Science course at the same level or higher.”

Furthermore: We note a long list of electives available to CSC students (upper level CSC, ECE, SENG, and STAT courses) including several available with permission. CSC and SENG students interested in the Data Science (DS) Minor should have plenty of options.

2. *Other students (including most MATH/STATS ones) will have a hard time to do CSC courses that need a lot of prerequisites, e.g. CSC 370 which needs CSC 226 and SENG 265, which in turn need CSC 225. The alternative of taking CSC 371, which doesn't have prerequisites, is often not viable as we haven't been offering it in quite some time.*

We recognise this; see Note 3 of the program stating:

“Some of the required courses have pre-requisites that may not be in a student's Major program. A student may have to take additional units to complete this Minor program.”

The minor is intended to be available to students in a wide range of Majors. As mentioned above, many (but not all!) of the electives are CSC, SENG and STAT courses. Students in relevant programs in Computer Science/ ECE /Math & Stats will likely have the pre-requisites to take some of these courses. For students majoring in other fields we offer a range of other options. The broad range of electives was deliberate – we are under no illusion that students from other programs will be taking the upper level CSC or SENG classes. And for a Minor program that should be OK.

3. *Taking HINF 200 instead might not provide sufficient depth on Database studies.*

We believe it is sufficient for this program. Math and Stats is planning on developing their own upper level course in Database management very soon, but even aside from this class the content of HINF is sufficient for a Minor.

- 4. It is also almost impossible for students, other than CSC, to be able to take important DS courses, such as CSC 475, CSC 498, or SENG 474 (Data Mining), again due to a long chain of prerequisites. Other electives, such as ECE 403, 435, 485 are just too hard for any student, other than possibly and MATH and ECE.*

See response to point 2 above. Please keep in mind that all of these are elective options and not required courses. Again, DS Minor students in Computer Science/ECE/Math and Stats will chose some of the upper level courses, and students from other programs have other pathways available to them.

- 5. Although CSC 498 can be taken by non-CS students with permission of the department, it would put a lot more strain on the department to have our faculty members taking on more independent projects from outside the department.*

CSC 498 already requires "permission of the department", and for the DS minor this course *also* requires permission of the Mathematics and Statistics department. Computer Science is certainly within its rights to deny permission to non CS students based on additional strain; I very much doubt this will happen. I also note that this concern directly contradicts concern 4 above, in which CSC 498 is included among courses that are feared to be "almost impossible" for non CSC students to take anyway.

- 6. Based on the above, we think the set of students that can complete this program is limited.*

The anticipated update outlined in the proposal is modest but still substantial. Given that we disagree with all of the above concerns, we also disagree with this conclusion.

- 7. And those that would go through the challenging chains of prereqs and course replacements, will possibly end up with quite a diverse set of courses, peculiar to each individual case. As such, their skill-set labeled by "DS minor" will possibly confuse potential employers.*

Quite the opposite. We believe the ability for students in diverse programs to sculpt their minor will be to their advantage. I think the supporting letter of Dr. David Mitchell (Director, School of Computing Science, SFU) captures the intent of the program.

From: [Laura Cowen](#)
To: [Science - Associate Dean](#)
Subject: FW: New Minor in Data Science
Date: October 1, 2018 4:04:40 PM

Hi Robin,

These comments from CS came too late for submission. Is there some way to include them?

Laura

Laura Cowen, Associate Professor
Mathematics and Statistics,
University of Victoria
WSÁNEC, Lkwugen, and Wyomilth Territories
Office: DTB (SSM) A446
Phone: 250-721-6152; FAX: 250-721-8962

From: Alex Thomo <thomo@uvic.ca>
Date: Monday, October 1, 2018 at 3:28 PM
To: Laura Cowen <lcowen@uvic.ca>
Subject: RE: New Minor in Data Science

Hi Laura,

I have gone through a few rounds of discussions with several of my colleagues and here are our concerns regarding the proposed new Minor in DS.

1. CSC and SENG students will have a hard time to find meaningful replacements for crucial courses in the program, e.g. CSC 110, 115, 370.
2. Other students (including most MATH/STATS ones) will have a hard time to do CSC courses that need a lot of prereqs, e.g. CSC 370 which needs CSC 226 and SENG 265, which in turn need CSC 225. The alternative of taking CSC 371, which doesn't have prereqs, is often not viable as we haven't been offering it in quite some time. Taking HINF 200 instead might not provide sufficient depth on Database studies.
3. It is also almost impossible for students, other than CSC, to be able to take important DS courses, such as CSC 475, CSC 498, or SENG 474 (Data Mining), again due to a long chain of prereqs.
4. Other electives, such as ECE 403, 435, 485 are just too hard for any student, other than possibly and MATH and ECE.

5. Although CSC 498 can be taken by non-CS students with permission of the department, it would put a lot more strain on the department to have our faculty members taking on more independent projects from outside the department.

Based on the above, we think the set of students that can complete this program is limited.

And those that would go through the challenging chains of prereqs and course replacements, will possibly end up with quite a diverse set of courses, peculiar to each individual case. As such, their skill-set labeled by "DS minor" will possibly confuse potential employers.

Best,
Alex



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Valerie Kuehne, Vice-President Academic and Provost 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Proposed Major Program Changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online)

Basis for Jurisdiction: Senate Committee on Planning meeting December 7, 2018
Senate meeting January 11, 2019

Previous Consultation: At its meeting on January 11, 2019, Senate approved and recommended that the Board of Governors approve the proposed major program changes to the MPA program, as described in the memorandum dated October 22, 2018. The proposed changes were approved by the Senate Committee on Planning on December 7, 2018.

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the proposed major program changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online), as described in the memorandum dated October 22, 2018, effective immediately.

Background:

The MPA program was first offered as an on campus program in 1976. In 2003, to better meet the needs of local and distant full-time public administrators, the School began offering the program online, in addition to the day-time on campus format. These two formats constitute different programs leading to the same degree. The main reason is that the student population differs between the two programs as requirements for admission are not the same: the students on line are experienced professionals with at least 3 years of work experience while the students on campus are admitted directly from Bachelors degrees and acquire work experience through their co-op. Students can't transfer between programs. Students in both options could complete a thesis or a project.

The proposed changes are revisions that implement recommendations of an Academic Program Review (2016). The recommended changes include:

(1) Eliminating the project, leaving the MPA Thesis Option (On Campus) (with a thesis of 4.5 units) and the MPA Course-Based Option (Online). Without the project, the MPA Course-based Option will be of 15 units (10 courses).

(2) Streamlining the MPA Thesis Option by reducing the total number of units from 21 to 16.5 (8 courses =12 units: 6 core and 2 electives, plus PADR 589 (Co-op Seminar, and 4.5 units for the thesis). A new research methods course (ADMN 557) will support students as they conduct their thesis research.

Planned Further Action:

The proposed changes for both options will be included in the May 2019 version of the Calendar and the first students affected by the changes will be the September 2019 intake.

Attachment(s): Proposal to Senate, dated December 19, 2018, for the proposed major changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online).



Date: December 19, 2018

To: Senate

From: Senate Committee on Planning

Re: **Proposed Major Program Changes to the MPA Program – Thesis Option (On Campus) and Course-Based Option (Online)**

At its meeting of December 7, 2018, the Senate Committee on Planning considered the proposed major program changes to the MPA program, as described in the memorandum dated October 22, 2018.

The following motion is recommended:

That Senate approve and recommend to the Board of Governors that it also approve, the major program changes to the MPA Program – Theses Option (On Campus) and Course-Based Option (Online), as described in the memorandum dated October 22, 2018.

Respectfully submitted,

2018/2019 Senate Committee on Planning

Nancy Wright, Associate Vice-President Academic Planning (Chair)

Gillian Calder, Faculty of Law

David Castle, Vice-President Research

Jo-Anne Clarke, Division of Continuing Studies

Merwan Engineer, President's Nominee

Mauricio Garcia-Barrera, Faculty of Graduate Studies

Andrea Giles, Cooperative Education and Career Services

Nicole Greengoe, Registrar (on leave)

Rishi Gupta, Faculty of Engineering

Robin Hicks, Faculty of Science

Ashlee Kirby, Student Senator

Valerie Kuehne, Vice-President Academic and Provost

Graham McDonough, Faculty of Education

Patrick Nahirney, Division of Medical Sciences

Sang Nam, Peter B. Gustavson School of Business

Abdul Roudsari, Faculty of Human and Social Development

Dan Russek, Faculty of Humanities

Nilanjana Roy, Faculty of Social Sciences

Ralf St. Clair, Dean, Faculty of Education

Victoria Wyatt, Faculty of Fine Arts

Carla Osborne, GSS Representative

Ada Saab, Acting Associate University Secretary

David Capson, Faculty of Graduate Studies

Sandra Duggan (Secretary), Office of the Vice-President Academic and Provost

To: Dr. Nancy Wright, AVP Academic Planning, Office of the Vice-President Academic and Provost

From: Dr. Astrid Brousselle, Director, School of Public Administration

Date: October 22, 2018

Re: **Major curriculum changes Cycle 1 May 2019 Calendar:
MPA Program - Thesis Option (On Campus) and Course-Based Option (Online)**

Program History: The MPA program was first offered as an on campus program in 1976. In 2003, to better meet the needs of local and distant full-time public administrators, the School began offering the program online, in addition to the day-time on campus format. These two formats constitute different programs leading to a same degree. The main reason is that the student population differs between the two programs as requirements for admission are not the same: the students on line are experienced professionals with at least 3 years of work experience while the students on campus are admitted directly from Bachelor's degrees and acquire work experience through their co-op. Students can't transfer between programs. Students in both options could complete a thesis or a project.

Rationale for proposed changes: The proposed changes take place in a larger revision process of our programs and activities that follows the School's Academic Program Review (2016). Our recommended changes include:

- (1) Eliminating the project, leaving the MPA Thesis Option (On Campus) (with a thesis of 4.5 units) and the MPA Course-Based Option (Online). Without the project, the MPA Course-based Option will be of 15 units (10 courses).
- (2) Streamlining the MPA Thesis Option by reducing the total number of units from 21 to 16.5 (8 courses = 12 units: 6 core and 2 electives, plus PADR 589 [0] Co-op Seminar, and 4.5 units for the thesis). A new research methods course (ADMN 557) will support students as they conduct their thesis research.

From these changes, we expect to:

- (1) Increase graduation rates for all our MPA students
- (2) Reduce student time to completion
- (3) Better align the School's activities with the strategic priorities of the University and HSD
- (4) Support our School in becoming more research oriented
- (5) Decrease faculty supervision loads, which were among the highest on campus
- (6) Meet our upcoming Faculty Member teaching capacity (the School will lose 2.6 FTE by July 2021)
- (7) Maintain our level of funding for our graduate students for the Faculty of Graduate Studies

Effect on current students' ability to meet their requirements: Students currently enrolled in the MPA program have the choice to either continue in their program or opt in the new program. We anticipate that some current MPA students admitted to the online option may opt into the 2019 requirements, which would mean they would not be required to complete a thesis or project.

Implementation Date: The proposed changes for both options will be included in the May 2019 version of the Calendar and the first students affected by the changes will be the September 2019 intake.

Signed approvals: The following have signed this document to approve the School of Public Administration proposal, outlined above.

Original signed by Astrid Brousselle

Date: Oct 22, 2018

Dr. Astrid Brousselle, the School of Public Administration
Original signed by Tricia Marck

Date: Oct 24, 2018

Dr. Tricia Marck, Dean, Faculty of Human and Social Development

Original signed by Esther Sangster-Gormely

Date: Oct 23, 2018

Dr. Esther Sangster-Gormley, Chair, FHSD Curriculum Committee

Original signed by David Capson

Date: 26 October 2018

Dr. David Capson, Dean of Graduate Studies

Sandra Duggan

From: David Capson – Dean of Graduate Studies
Sent: November 27, 2018 10:54 AM
To: Nancy Wright – AVP Academic Planning
Cc: Sandra Duggan; SPA Director; hsddean; Cathy Stacey, Assistant to the Dean of Graduate Studies
Subject: motion for next SCAP meeting

Hi Nancy,

I am writing to let you know that FGS Council has passed the following motion in its Nov 20, 2018 meeting:

MOTION: THAT the Faculty of Graduate Studies Council approve and recommend the changes to the Master of Public Administration programs, as presented, to the Senate Committee on Planning.

I am requesting that the changes to the Master of Public Administration programs now be considered for approval at the next Senate Committee on Planning meeting in December 2018.

Sincerely,
David Capson



David W. Capson, Ph.D., P.Eng.
Dean, Faculty of Graduate Studies
Professor, Electrical & Computer
Engineering



University
of Victoria

University of Victoria
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uvic.ca/graduatestudies

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University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Valerie Kuehne, Vice-President Academic and Provost 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Proposal to Establish a Professional Specialization Certificate in Visitor and Community Engagement

Basis for Jurisdiction: Senate Committee on Planning meeting December 7, 2018
Senate meeting January 11, 2019

Previous Consultation: At its meeting on January 11, 2019, Senate approved and recommended that the Board of Governors approve the proposal to establish a Professional Specialization Certificate in Visitor and Community Engagement, as described in the document "Professional Specialization Certificate in Visitor and Community Engagement". The proposal was approved by the Senate Committee on Planning on December 7, 2018.

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the establishment of a Professional Specialization Certificate in Visitor and Community Engagement, as described in the document "Professional Specialization Certificate in Visitor and Community Engagement", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

Strategic Relevance

Programs such as the proposed Professional Specialization Certificate (PSC) in Visitor and Community Engagement attract new adult students to the University and provide innovative programming to serve professionals across disciplines.

The proposed PSC in Visitor and Community Engagement will support continuing professional education, and will focus on learning that addresses issues and challenges in the museum, culture, heritage, and other related fields. Prospective students will bring a diverse array of disciplinary perspectives, education and experience to the program.

Overview/nature of the Certificate

The PSC in Visitor and Community Engagement is proposed in response to the growing need for knowledge and skills in the area of public programming, audience engagement, and community relationship building within the museum and cultural sector. Over the last decade, museums have shifted their relationship with their public(s) moving from an inward focus on collections to an outward focus on the communities they serve. With this shift, new positions have emerged in the museum field (such as Curator of Engagement, Director of Visitor Experience, or Audience Engagement Specialist) as well as the requirement for all museum staff to better understand and consider their audiences and the communities they serve as part of their work.

The requirements for the PSC in Visitor and Community Engagement will include 3 - 1.5 unit core courses, as well as one 1.5 unit elective course. All courses will consist of 36-39 instructional hours. The program can be completed fully online, or students have the option to complete their elective course on-campus as a 6-day intensive course.

Alignment with the university's mission and Strategic Framework

Strategic Framework Strategy 3.5: Develop and evolve high quality academic programs that are responsive to student interest and social need.

Strategic Framework Strategy 6.5: Engage in lifelong learning.

Senate/academic considerations

Students will be evaluated through a mix of assignments and participatory activities that support their understanding of course content and their capacity to relate it to the challenges of professional practice.

Demand and availability

Courses are currently offered every 12-16 months. The online, asynchronous delivery of the program, means the PSC will be available to a national and international audience. The CRM Program has been providing educational opportunities to emerging and mid-career professionals in the museum, heritage and cultural sector for over 30-years, and can successfully market to and attract learners from this sector for new programming opportunities.

Resource implications

As the PSC will be developed within the existing programmatic and administrative framework of the Cultural Resource Management Program, no new resources are requested.

Attachment(s): Proposal to Senate, dated December 19, 2018, to establish a Professional Specialization Certificate in Visitor and Community Engagement.



Date: December 19, 2018

To: Senate

From: Senate Committee on Planning

Re: **Proposal to Establish a Professional Specialization Certificate in Visitor and Community Engagement**

At its meeting of December 7, 2018, the Senate Committee on Planning considered the proposal to establish a Professional Specialization Certificate in Visitor and Communication, as described in the document "Professional Specialization Certificate in Visitor and Community Engagement".

The following motion is recommended:

That Senate approve and recommend to the Board of Governors that it also approve, the establishment of a Professional Specialization Certificate in Visitor and Community Engagement, as described in the document "Professional Specialization Certificate in Visitor and Community Engagement", and that this approval be withdrawn if the program should not be offered within five years of the granting of approval.

Respectfully submitted,

2018/2019 Senate Committee on Planning

Nancy Wright, Associate Vice-President Academic Planning (Chair)

Gillian Calder, Faculty of Law

David Castle, Vice-President Research

Jo-Anne Clarke, Division of Continuing Studies

Merwan Engineer, President's Nominee

Mauricio Garcia-Barrera, Faculty of Graduate Studies

Andrea Giles, Cooperative Education and Career Services

Nicole Greengoe, Registrar (on leave)

Rishi Gupta, Faculty of Engineering

Robin Hicks, Faculty of Science

Ashlee Kirby, Student Senator

Valerie Kuehne, Vice-President Academic and Provost

Graham McDonough, Faculty of Education

Patrick Nahirney, Division of Medical Sciences

Sang Nam, Peter B. Gustavson School of Business

Abdul Roudsari, Faculty of Human and Social Development

Dan Russek, Faculty of Humanities

Nilanjana Roy, Faculty of Social Sciences

Ralf St. Clair, Dean, Faculty of Education

Victoria Wyatt, Faculty of Fine Arts

Carla Osborne, GSS Representative

Ada Saab, Acting Associate University Secretary

David Capson, Faculty of Graduate Studies

Sandra Duggan (Secretary), Office of the Vice-President Academic and Provost

Professional Specialization Certificate in Visitor and Community Engagement

Dean's Name Dr. Jo-Anne Clarke (Continuing Studies) Dr. Susan Lewis (Fine Arts)	Signature Dean: Original signed by Jo-Anne Clarke and Susan Lewis
Contact Name and Number: Tania Muir, 8462 Maxine Reitsma, 6477	
Date approved by Department: 21 September 2018	Head: Dr. Marcus Milwright
Date approved by Faculty:	Dean or Faculty Chair: Eva Baboula, Associate Dean, Fine Arts



A. Identification of new Undergraduate Certificate	
Name, Location, Academic units (Faculties, departments, or schools) offering the new Certificate	Professional Specialization Certificate in Visitor and Community Engagement Division of Continuing Studies in partnership with Art History and Visual Studies, Faculty of Fine Arts
Anticipated Certificate start date	May, 2019
Name, title, phone number and e-mail address of contact person	Tania Muir, Program Director, 8462, crmdir@uvic.ca
B. History and context of the Undergraduate Certificate	
<p>The proposed Professional Specialization Certificate (PSC) will be offered within the Division of Continuing Studies (DCS) in partnership with Art History and Visual Studies (AHVS) as our academic home. Certificate and diploma programs within DCS at the University of Victoria (UVic) are designed to meet the diverse needs of adult learners seeking professional development opportunities.</p> <p>The Cultural Resource Management (CRM) Program has been providing educational opportunities to emerging and mid-career professionals in the museum, heritage and cultural sector for over 30-years. Current programs include a Diploma in Cultural Resource Management and a Professional Specialization in Collections Management, as well as a range of credit and non-credit courses and workshops to support lifelong learning in the field.</p> <p>Increasingly, working professionals are looking to post-secondary institutions to provide short-term or micro-credentials to support their learning needs and demonstrate their qualifications to future employers. The 6.0 unit PSC which is designed for learners already holding a bachelor’s degree and have experience working in the field, provides an ideal structure to meet this need.</p> <p>The PSC in Visitor and Community Engagement is proposed in response to the growing need for knowledge and skills in the area of public programming, audience engagement, and community relationship building within the museum and cultural sector. Over the last decade, museums have shifted their relationship with their public(s) moving from an inward focus on collections to an outward focus on the communities they serve. With this shift, new positions have emerged in the museum field (such as Curator of Engagement, Director of Visitor Experience, or Audience Engagement</p>	

Specialist) as well as the requirement for all museum staff to better understand and consider their audiences and the communities they serve as part of their work.

We anticipate that the development of a PSC in the area of Community Engagement will attract new learners to the program area who are looking to enhance their knowledge and experience in this growing area of the cultural sector. In addition, current students could complete the PSC in Visitor and Community Engagement concurrently with the Diploma in Cultural Resource Management, using electives from one program to satisfy core course requirements for the others. Diploma students may also find the PSC to be a useful benchmark in their learning plan.

The proposed PSC draws on existing coursework in the CRM Program serving the continuing professional education needs of people working in the museum and cultural sectors. As a new offering in the CRM program portfolio, the PSC will benefit from the extensive experience that program staff bring to the development and delivery of online and on-campus immersion, and from its established network of professional contacts and promotional venues.

C. Aims, goals and/or objectives

Distinctive characteristics

While a variety of museums studies programs exist across Canada at an undergraduate and graduate level, the Cultural Resource Management Program at the University of Victoria is unique as the first program aimed at meeting the learning needs of emerging and mid-career professionals in the museum, heritage and cultural sector. Offering online and immersive educational opportunities, the Cultural Resource Management certificate and diploma programs support the needs of geographically dispersed learners provincially, nationally and internationally. These credentials have both a strong reputation in the field, and are widely recognized by cultural sector employers.

The PSC in Visitor and Community Engagement will include three - 1.5 unit core courses, as well as one 1.5 unit elective course. The program can be completed fully online, or students have the option to complete their elective course on-campus as a 6-day intensive course.

Like the other CRM programs, the core courses for the PSC in Visitor and Community Engagement will be delivered online and designed to be completed on a part-time basis providing accessibility and flexibility as learners balance their personal and professional responsibilities with their studies.

Program students will be part of a professional community of learners, drawing on the professional insights and experiences of not only their course instructors, but their fellow course participants as well.

Upon completion, graduates of the PSC in Visitor and Community Engagement are able to:

1. Understand the role of museum, heritage and cultural organizations in society
2. Analyze the philosophical and social trends that create expectations for democratic, inclusive practices in cultural organizations
3. Understand visitor engagement as a critical foundation for museums and cultural organizations
4. Identify the role and qualities of public programming necessary to build community and connection with visitors
5. Understand how to identify the needs, characteristics, motivations and learning styles of various audiences and visitors to cultural organizations
6. Describe the range of visitor engagement practices, including innovative and controversial approaches
7. Include and balance diverse perspectives associated with effective community, cultural, and social development activities

Complementing existing museum studies programs across Canada in collections management, curatorial studies, museum education, general museum studies, heritage resource management, archival studies, arts

management, and public history, the PSC in Visitor and Community Engagement will be the first of its kind focused on the development of community-engaged practices in the cultural sector.

Anticipated contribution to the UVic, Faculty, and academic unit's strategic plans

The proposed program aligns with the objectives articulated in the Continuing Studies Strategic Plan. Specifically:

1.2 *Enhanced DCS Programming*

1.3 *Grow Career Programming*

4.1 *Optimize Growth and Financial Sustainability*

Additionally, this program development aligns with the current *UVic Strategic Plan: A Vision for the Future: Building on Excellence*. Specific areas in which the proposal is aligned to emerging priorities include:

Objective 24: To support lifelong learning by increasing continuing education opportunities for on-campus and online adult and part-time learners.

Objective 15: To support a broad range of flexible course delivery options, including face-to-face, blended and distributed learning as part of the UVic tradition and as a mechanism for increasing access to higher education.

Programs such as the proposed PSC in Visitor and Community Engagement attract new adult students to the University and provide innovative programming to serve professionals across disciplines.

The proposed PSC in Visitor and Community Engagement will support continuing professional education, and will focus on learning that addresses issues and challenges in the museum, culture, heritage, and other related fields. Prospective students will bring a diverse array of disciplinary perspectives, education and experience to the program.

Target audience, student and labour market demand

The intent of this programs is to strengthen participants' capacity to engage in professional practice in knowledgeable, practical, and insightful ways. We anticipate that this program will attract a diverse range of professionals at various experience levels from museums, historic sites, galleries, and cultural centres across Canada and internationally, as well as a new audience of those working in non-museum and cultural sectors that are involved in creating visitor experiences. Among the practitioners who would develop specialized knowledge and skills through the proposed program are: curators, exhibition planners and designers, technicians, museum directors, museum educators, event coordinators, visitor services staff, and undergraduate or graduate students looking to grow tangible career skills before entering the workforce.

As the proposed program can be completed entirely online, it is expected to attract participants from all parts of North America and beyond. While this cohort brings together diverse disciplinary backgrounds and professional activities and affiliations, participants would likely share a number of common characteristics. Participants will:

- tend to be specialists in a range of disciplines, holding undergraduate and graduate degrees in topics that relate to their areas of professional practice
- have confronted a range of visitor experience planning issues with relatively little formal education and training in this area
- have few sources of specialized visitor engagement planning coursework available to them in local areas
- be seeking flexible and accessible part-time study opportunities that are relevant to the needs and

concerns of their workplace and community, and that connect them with instructors and colleagues who share similar interests and concerns

Based on current CRM enrollments, it is expected that around 40% of program participants would be from British Columbia. The balance would include other Canadian participants and international students.

Include plans for student recruitment, retention, and success

The PSC in Visitor and Community Engagement will be administered through the CRM office in DCS. CRM will oversee program marketing, student recruitment, student advising, admissions and registration issues, course development, course scheduling, and program management; the Department of Art History and Visual Studies (AHVS) will oversee curriculum changes, instructor appointments, and grading.

Initially, we anticipate recruiting for students throughout our regular promotional channels for other CRM programs, including, promoting to a variety of interested museums, cultural centers, art galleries, and cultural sites and promoting through industry journals, magazines, listservs, and conferences. Through these communications networks, we will have an opportunity to highlight the PSC in Visitor and Community Engagement as a new offering in the program area demonstrating how this credential will augment their knowledge and understanding as well as differentiate them within the sector when seeking employment or articulating their skill set.

The effectiveness of the program will be gauged by student performance in course assignments and other activities, and by evaluations of student experience as documented in a mid-course internal evaluation and the Course Experience Survey (CES). The outcomes of these forms of evaluation will be reviewed and will inform subsequent course design and delivery.

Additionally, the Steering and Advisory Committees for the CRM convenes at least annually and will provide advice and/or make recommendations on:

- program development and delivery strategies
- design, development, implementation, and evaluation of courses and programs
- academic matters, including course development, curriculum, and admission requirements that represent sector, academic, and administrative interests. The outcomes will support Programs and Department staff in academic decision-making.
- needs and issues in visitor engagement
- program standards
- curriculum, instructional design, and course development
- the design, development, implementation, and evaluation of the PSC
- policies and procedures pertaining to PSC program administration

D. Admission requirements

As per Policy AC1135 Policy for the Establishment of Certificate and Diploma programs, the PSC in Visitor and Community Engagement is intended for students who already hold a recognized degree or post-secondary diploma from an accredited institution and have at least 2 years work-related experience in a related professional sector (museum, gallery, heritage, cultural centre, or a related position in a non-arts-related sector). Students will be required to:

- apply for undergraduate admission to the University of Victoria (or for permission to re-register if they are former UVic students), and
- apply for admission to the PSC program through the CRM office

E. Areas of specialization and evidence of adequate faculty complement (Include short faculty cv information in an appendix)

DCS programs are taught by sessional instructors, with professional experience. No additional instructors would be required for this program as it relies entirely on existing courses.

Since the sessional instructors who have taught in the CRM program for many years offer a committed and stable pool of expertise to draw on, we are confident that this new program will be resourced effectively with distinguished experts drawn from professional practice. Our sessional instructors hold advanced academic degrees in related disciplines and bring knowledge, skills and professional experience in their specialist areas, along with teaching experience, to their work with the program. Some may also hold adjunct assistant professor status in the Faculty of Fine Arts.

The Program Coordinator assigned to this program will manage the day-to-day program administration as well as provide guidance and resource support to potential and active program students, working with them to identify appropriate courses that will meet their learning objectives.

As with other DCS programs, a Steering and Advisory Committee—typically including members that represent former/current DCS students, instructors, program partners and DCS staff—would provide guidance and academic oversight to the program. This program would share the Steering and Advisory Committees for the other CRM programs. This committee would meet 1-2 times annually or as required to provide oversight to the delivery of the program.

F. Curriculum design

The requirements for the PSC in Visitor and Community Engagement will include three - 1.5 unit core courses, as well as one 1.5 unit elective course. All courses will consist of 36-39 instructional hours. The program can be completed fully online, or students have the option to complete their elective course on-campus as a 6-day intensive course.

All courses required for the program currently exist as elective course options for the Diploma in Cultural Resource Management and are offered online. The core courses and their relationship to the program learning outcomes outlined in section C of this document are:

PSC in CE	Program Level Learning Outcomes						
	LO1	LO2	LO3	LO4	LO5	LO6	LO7
AHVS 488G	✓	✓	✓	✓	✓	✓	✓
AHVS 488W	✓	✓	✓	✓	✓		✓
AHVS 488Y		✓	✓	✓	✓	✓	✓
Elective	potentially	potentially	potentially	potentially	potentially	potentially	potentially

AHVS 488G Public Programming

Course Description:

This course will examine the critical role of interpretation and public programming in helping museums and heritage organizations engage their communities in meaningful and long-term ways. Participants will explore how organizations can create memorable learning experiences for visitors by understanding their needs, motivations, learning preferences, and contextual influences.

This course also examines:

- the role of interpretation in public programs
- the process of developing thematic interpretive content
- the strengths and weaknesses of various interpretive and program approaches

Participants will learn about some powerful interpretive strategies that use the senses, material culture, multiple perspectives, stories and memory. This course will look at planning, delivery, staffing, management and evaluation issues for a range of public programming approaches that occur on-site at museums and heritage organizations.

This course will also explore community outreach approaches—including the new realm of web-based public programs—and consider how museums and heritage organizations can embrace learning as a valued outcome for internal and external stakeholders and develop effective, long-term community partnerships.

Learning Outcomes:

- Describe the new effectiveness mandates in museums and heritage organizations and the evolving role of interpretation and public programs.
- Identify the needs, characteristics, motivations and learning styles of various audiences and visitors to museums and heritage organizations.
- Recognize interpretation as a communication process, articulate interpretive significance and thematically organize interpretive content.
- Describe the strengths and weaknesses of various interpretive and program approaches and articulate a number of best practices for creating memorable learning experiences.
- Recognize some key issues related to planning, implementing and evaluating public programs.
- Recognize some key issues related to recruiting, training, managing and evaluating program and interpretive staffs and volunteers.

- Articulate the importance of interpretation, public programs, community engagement and teamwork in achieving the new effectiveness mandates in museums and heritage organizations.

AHVS 488W Social Engagement

Course Description:

Museums and other cultural heritage organizations have the capacity to serve as dynamic social spaces for community engagement and action. This course explores the profound social changes that are reshaping the nature and purposes of museums in a pluralistic society and considers the implications for all aspects of their specialized functions. During the first half of the course participants utilize a group of core resources to assist their learning about how the museum and cultural field has evolved, why social and community engagement is a critical foundation for all other professional practices, and how other organizations have begun their journeys towards engagement. The second half of the course introduces participants to a series of skills and practices to initiate, facilitate, and support community engagement and embed them in organizational life. Participants complete either a research paper on a topic relevant to the course, including a proposal, literature / resources review and essay, or a community engagement plan, with components on strategy, participants, proposed engagement process / steps, and follow up activities to embed community engagement into ongoing practice.

Learning Outcomes:

- Describe the broad paradigm shifts and multiple forces for change that are shaping current and future values and practice in museums.
- Distinguish what community engagement is and is not, and differentiate between audience development and community engagement.
- Articulate why social and community engagement is a critical foundation for museums and cultural organizations.
- Articulate the criteria for choosing community representatives to participate in a community gathering and the components of an effective selection process.
- Utilize some basic skills and processes to initiate, plan, and facilitate an engagement process with community leaders and representatives.
- Describe the components of effective community partnerships and collaborations and explore some tools for evaluating engagement processes.
- Compare how community engagement has initiated a journey towards relevance and sustainability for other museums and cultural organizations and understand the benefits of learning from case studies.
- Describe how community engagement has transformed a number of museums.
- Explore some organizational change and transformation processes necessary to implement engagement strategies in museums.
- Complete an engagement assessment of an organization OR develop and implement an engagement plan that incorporates practical guidelines, steps, and skills to initiate, facilitate, support and evaluate community engagement processes.

AHVS 488Y Visitor Experiences

Course Description:

This course explores the evolving concept and implications of a holistic approach to visitor engagement in museums and other cultural heritage institutions. Topics include:

- museums' relationships with their publics
- museums' capacity to serve as social spaces
- strategies for audience research
- the characteristics of visitors

- communications
- exhibitions
- formal and informal learning activities
- evaluation strategies

Learning Outcomes:

- Summarize what is meant by ‘the visitor experience’ (e.g.; what it involves, when it is relevant, who is responsible for planning and implementing) and why it matters to the institution today and in the future.
- Discuss some of the literature and thinking that has been integral to justifying the shift towards visitor-centered experiences in museums.
- Articulate and discuss what is known about museum visitors such as trends in museum visitation (who visits), motivations (why visitors come/stay away), and visitor satisfaction (what visitors need to have a positive experience).
- Describe the value and basic tenets of conducting visitor studies/audience research to informally conduct small studies and advocate for its broader use in assessing and improving the visitor experience.
- Predict and identify the elements of museum infrastructure (physical space and organizational systems) and hospitality that will best support the optimal visitor experience.
- Identify and analyze the various communication strategies for conveying information to visitors at an institution (Marketing, Orientation/Wayfinding, Interpretation, Education) and recommend additions or modifications to those strategies that will improve the visitor experience at a given site.
- Discuss the role and necessary qualities of public programming (activities, events, etc.) to build community and connection with visitors.
- Apply lessons and discussions from course to advocate for, and holistically assess, the effectiveness of the visitor experience based on current practices in visitor-centered design of infrastructure, hospitality, information delivery, and programming.

Participants will choose from the suite of AHVS 488-series of courses for their elective course option. Current courses include:

- AHVS 488A Managing Cultural Organizations
- AHVS 488B Collections Management
- AHVS 488C Communicating Through Exhibitions
- AHVS 488D Caring for Museum Collections
- AHVS 488H Topics in Museum Studies
- AHVS 488J Curatorship: Contemporary Perspectives
- AHVS 488K Exhibition Planning and Design
- AHVS 488M Topics in Cultural Management
- AHVS 488N Museum Information Management
- AHVS 488P Human Resource Management in Cultural Organizations
- AHVS 488Q Financial Management in Cultural Organizations
- AHVS 488R Planning in Cultural Organizations
- AHVS 488S Building Community Relationships
- AHVS 488U Managing Archival Collections
- AHVS 488V Museums as Learning Environments
- AHVS 488X Curatorial Planning and Practice

As all courses build specialized professional knowledge for practice that is based on a strong conceptual foundation, opportunities to relate learning to the practical dynamics of the workplace are vital. Whether online or in-person, Instructional design and course delivery emphasize engagement with real-life applications. These methods will provide an experiential element that is of particular value to practitioners who will have opportunities to reflect on and perhaps resolve problems or contribute to initiatives that benefit their workplaces.

Residency requirements and anticipated times to completion

As all program requirements can be completed online, no residency is required. While elective course options will be offered in all three academic terms, core courses will be scheduled in the fall and/or winter terms. Therefore, it will be possible to complete this program in eight months of part-time study.

Policies on student evaluation, candidacy exams, and oral examinations

Students will be evaluated through a mix of assignments and participatory activities that support their understanding of course content and their capacity to relate it to the challenges of professional practice. All evaluation activities, grading, and academic performance expectations will be consistent with the policies and standards for evaluation of student course work of the Department of History in Art and Visual Studies. Students will be expected to fully participate in course offerings, behave and work to professional standards, and engage with and submit assignments in timely ways.

G. Enrolment plan for the length of the Undergraduate Certificate (Include a table of anticipated annual intake and graduates including those in any existing certificates)

We anticipate an initial intake of 6 in the PSC in Visitor and Community Engagement program students, with of 10 to 15 successful program applications after the second year, studying on a part-time basis. As PSC students will be studying alongside CRM students in the courses offerings, the PSC is not reliant on a fixed intake of students, particularly in its introductory years. We anticipate an additional minor increase in enrollments to the existing Diploma in Cultural Resource Management Program as new program participants opt to complete both credentials concurrently, using elective courses from the Diploma to satisfy core course requirements for the PSC. As programs can be accessed concurrently in this way, the introduction of a new PSC will not negatively impact enrollment in adjacent programs.

H. Funding plan for the length of the Undergraduate Certificate

As the PSC will be developed within the existing programmatic and administrative framework of the Cultural Resource Management Program, the resource implications are summarized below:

Resources required for Faculty appointments

No new resources required.

Resources required for Staff appointments

No new resources required.

Resources required for Space

No new resources required.

Pressure on UVic classroom facilities should not be an issue, as the dedicated classroom (FA 108) for Cultural Resource Management programming can be used for the on-campus immersion courses. If on-campus or distance courses are oversubscribed, additional sections can be scheduled.

Resources required from Library

No new resources required.

There should be minimal impact on library resources, including the distance library service (Infoline), as the existing holdings of the Cultural Resource Management Program reference collection and the MacPherson Library are adequate to serve the program.

I. Related Certificates within UVic or other British Columbia post-secondary institutions

As the Cultural Resource Management Program at the University of Victoria is the only academic credit program in Western Canada that addresses community and visitor engagement and experiences in a part-time, online format, the proposed PSC will be of benefit to the broad range of professionals with museums, historic sites, galleries and other cultural institutions who are involved in the planning and design of site visitor experiences.

UNIVERSITY OF BRITISH COLUMBIA

Undergraduate Museum Studies concentration as part of 4 year Bachelor of Arts

Anthropology undergraduate students may choose to include a focus in Museum and Visual anthropology. Students will complete five core Anthropology courses with a focus on Museum and Visual Anthropology. Further museum related courses may be taken from other departments.

Master of Museum Education

2 year plus 1 term, part-time; blended program

This program focuses on the study of education and learning that happens in museums and similar places. Students will complete 10 courses, including specific core and elective courses.

ATHABASCA UNIVERSITY

Heritage Resources Management

Programs provides practical knowledge and coverage of important issues and trends in the heritage field.

1. Undergraduate Certificate

Self-paced distance format

Prior undergraduate degree not required. Students must complete 8 courses plus a 240 hour Practicum.

2. Post-Baccalaureate Diploma Program

Online format

Students must complete 5 courses plus a 400 hour Practicum.

FLEMING COLLEGE

Museum Management and Curatorship

Graduate Certificate; 3 consecutive semesters F2F

Students will gain applied skills-based training in the museum/gallery or heritage sectors.

ALGONQUIN COLLEGE

Applied Museum Studies

3 year Advanced Diploma

Blended model

Provides students with specialized training in collections management, educational programming, exhibit preparation, museum management and conservation.

CENTENNIAL COLLEGE

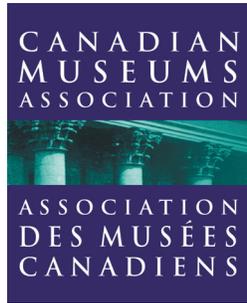
Museum and Cultural Management

1 year/2 semester Graduate Certificate (10 courses)

Covers industry-based subjects, museum administration topics and in-depth explorations of contemporary issues and cases in Canada and abroad. Core theory is applied to current workplace realities. Assignments, lessons and student placements are linked to the vast network of museums in Ontario and Canada.

J. Evidence of support and recognition from other post-secondary institutions, and relevant regulatory or professional bodies, where applicable (Provide copies of letters of support in an appendix)

Letter of support included in appendices.



November 1st, 2019

I am writing on behalf of the Canadian Museums Association to express our enthusiastic support for the development of a Professional Specialization Certificate in Visitor and Community Engagement at the University of Victoria.

As museums evolve, a greater emphasis has been placed on engaging the community. No longer do museums represent closed institutions, focused on research and accessible only to academic elite. Instead, museums are increasingly becoming important community spaces that represent discussion, storytelling, but most importantly equality.

In these active and modern museums, Community Engagement Professionals are essential. Currently with no dedicated training program in place, skills are learned on the job, at sessions in general or dedicated conferences, or borrowed from other industries like the tourism sector. A dedicated program will no doubt create a conversation around best practices specific to the challenges of the museum sector, which can only serve to improve the visitor experience.

This program also addresses the need for flexibility within museum training in Canada. Before programs like this one become more widespread, this adaptive online program made available to students from across the country will be essential.

The CMA fully stands behind the development of the Professional Specialization Certificate in Visitor and Community Engagement and we would very much like to see it come to be. Programs like this one bode well for the future of museums, and the health of communities and culture in Canada.

With gratitude,

Original signed by Karen Bachmann

Karen Bachmann
CMA Board President

November 1, 2018

Tania Muir

Director, Cultural Management Programs
Division of Continuing Studies, University of Victoria
3800 Finnerty Road
Victoria, BC V8P 5C2

Dear Ms. Muir,

Thank you again for making me aware of this excellent program at UVic. We at BCMA are very excited about the prospect of expanding training and education opportunities in the museum field throughout BC.

I believe the proposed Professional Specialization Certificate in Visitor and Community Engagement can meet the growing need for this specialization in the museum and heritage sector. Training and education in the areas of public programming and visitor engagement will be necessary if we wish to continue to build relationships with the community, and the Cultural Resource Management program is uniquely poised to meet that need.

Museums and cultural organizations are quickly evolving into inclusive, community-focused hubs for members of the public to utilize and enjoy. Despite this, BCMA members rank audience development and community engagement as one of their greatest challenges. In our recent survey, members were asked about their organization's major threats to their activities. 58% of the responses expressed concern with having to compete with other popular leisure time activities. Other specific threats mentioned include the need to "freshen presentation to appeal to visitors" and an inability to "get the word out to everyone" as well as a "lack of exposure." 52.27% of the survey responses claim inadequate community engagement/attendance as a major challenge to their organization's activities.

When asked about their organization's major opportunities, 63.64% responded with increased attendance/participation rates and 57.95% of responses expressed the desire for increased public programming. Engaging in learning opportunities such as the PSC in Visitor and Community Engagement would support museum professionals in gaining the knowledge and skills to meet these goals.

We would love to be kept informed about the status of this program and how we could help further.

Original signed by Erica Mattson

Erica Mattson

Executive Director
British Columbia Museum Association



Tania Muir
Director, Cultural Management Programs
Division of Continuing Studies
University of Victoria
Victoria, British Columbia

October 1, 2018

Dear Tania,

I'm delighted to write this letter in support of the Cultural Resource Management Program's proposed *Professional Specialization Certificate in Visitor and Community Engagement*. This is a brilliant idea, and long overdue in the field.

There is NO question that a PSC with this focus would meet a growing need in the museum and heritage sector. There has been a significant movement towards strengthening the public dimension of museums, historic sites, cultural organizations, and heritage organizations, including understanding visitor needs and learning, developing audiences, and providing opportunities for active participation in programs and offerings. The most dramatic transformation in the field has been the embracing of community engagement, or museums and cultural organizations learning about their communities' needs and shifting their focus to address what matters to their communities (not their curators or board members). This new community-centered focus is pushing the most innovative museums to become agents of social change, working in collaboration and/or partnership with other community organizations. This refocus has dramatically increased their relevance and helped them develop new approaches towards long-term sustainability. It is nothing short of a paradigm shift in the field.

These complex shifts have not happened without confusion and occasionally push back from colleagues who have long cherished their authority and inward-looking focus on the behind-the-scenes work of museums and cultural organizations. It takes these colleagues time to comprehend the new knowledge and goals, learn about transformative case studies, and imagine how their traditional work role can become even more fulfilling by addressing the needs of visitors and community. However, time and time again I've witnessed a change in attitude as students learn about why the field has moved towards more inclusive practices. There are many "ah-ha" moments as students discover a new path to helping their organizations survive, thrive, and make a meaningful difference in their communities.

As someone who has consulted for organizations throughout North America and taught in this area for many decades, for U Vic and other universities, as well as a number of provincial museum associations, I know firsthand that it is almost impossible to help students embrace these complex shifts in a single course. So, a PSC in this area makes perfect sense. A *PSC in Visitor and Community Engagement* will not only give colleagues the confidence they need to become change agents in their organizations. It will provide the depth of knowledge and skills required for them to become leaders in the field.

The Cultural Resources Management Program is highly respected for providing cutting edge professional training for the museum and heritage field, and the proposal to establish a *Professional Specialization Certificate in Visitor and Community Engagement* continues this longstanding tradition. I encourage the U Vic Senate to enthusiastically endorse and approve this proposal. Please contact me if you have any questions.

With the highest respect and regard for U Vic and deep pride as a CRMP instructor,

Original signed by Candace Tangorra Matelic

Candace Tangorra Matelic, Ph.D.
President, CTM Professional Services, Inc.
Professor for U Vic CRMP, Johns Hopkins University and Texas Christian University
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University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

January 14, 2019

FOR INFORMATION

To: FINANCE COMMITTEE

From: Vice-President Finance and Operations 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: University Of Victoria Staff Pension Plan Investment Performance Report for the Period Ended September 30, 2018

Basis for Jurisdiction: University of Victoria Staff Pension Plan Governance Policy, Appendix A (Duties of the Investments and Administration Committee, Section 4)

Strategic Relevance:

Strategy 5.5-

Ensure the financial sustainability of the university and our ability to pursue excellence by optimizing existing resources through careful planning, earning public support, attracting partnerships, and pursuing a revitalized program to grow and diversify resources through philanthropic and other means.

Background:

The University contracts with Willis Towers Watson to provide investment consulting services to the Staff Pension Plan Investments and Administration Committee. The consultant measures the investment performance of the Fund and compares that performance against a selection of generally comparable funds. The services of the consultant include measurement of the

performance of major asset classes by fund and manager, commentary on manager performance and issues, updates on industry trends, investment issues, best practices, and legislative developments and their potential relevance to the Plan.

The Staff Pension Fund's managers invest in a number of different types of assets within the constraints established by the Statement of Investment Policies and Goals (SIP&G). Investment performance is compared against the performance of a theoretical "benchmark" portfolio. Although the managers are measured against a benchmark asset mix, they may vary the asset mix, within established ranges, in order to add value.

The Fund is currently invested as follows:

- Canadian Equities, managed by Burgundy Asset Management;
- Foreign Equities, managed by BC Investment Management Corporation (BCI, formerly bcIMC);
- Fixed Income, managed by Phillips, Hager and North (PH&N);
- Real Estate, managed by BCI; and
- Infrastructure, managed by Macquarie Infrastructure and JP Morgan Asset Management.

The attached Appendix 1 shows the Fund's market value, current and policy asset allocation, fund performance, and relevant benchmarks for periods ended September 30, 2018. The total Fund gained 7.8% for the one year period, exceeding its benchmark of 6.9% by 0.9%. On a 4 year and 10 year basis the total Fund returned 7.4% and 7.8% respectively, exceeding the benchmark by 1.0% and 0.9%.

On an absolute basis, the one year return was driven by strong Foreign Equity and Infrastructure performance, while Canadian Bonds and Equities underperformed. On a relative basis Canadian Equities continues to underperform its benchmark and is being closely monitored by the Investments and Administration Committee. Over the longer term, on an asset class basis, allocating a lesser amount to Canadian Equities in favour of Foreign Equities, Real Estate, and Infrastructure continues to be positive strategy for the Fund's performance. Real Estate and Infrastructure allocations have performed well on an absolute basis and have reduced volatility in the Fund, as intended. As a result, the Staff Plan's total asset mix has led to favourable performance from return and risk adjusted return perspective.

The University remains in compliance with the provisions of the Plan, *BC Pension Benefits Standards Act* and the *Income Tax Act* relating to the investment of the Fund.

Appendix 1: Staff Pension Plan Performance (as at September 30, 2018).

Appendix 1
University of Victoria Staff Pension Plan
Performance as of September 30, 2018¹

		Asset allocation	Policy Benchmark	Policy Allowable Range	Fund performance ² (%)			
	Market Value (\$000's)	% portfolio ⁴			YTD	1 Yr	4 Yrs	10 Yrs
Total Fund	283,281	100.0	100.0		4.6	7.8	7.4	7.8
Total Fund Benchmark ³					3.6	6.9	6.4	6.9
Canadian Equity	36,812	13.0	13.0	8 - 18	1.4	3.3	2.9	5.5
S&P/TSX Capped 10%					1.4	5.9	4.9	6.3
Foreign Equity	90,037	31.8	27.0	22 - 32	10.7	16.9	14.0	11.8
MSCI World Ex Canada Net					9.1	15.3	12.9	11.0
Fixed Income	103,986	36.7	40	30 - 50	-0.2	1.8	3.1	5.4
FTSE Universe Bond					-0.4	1.7	2.5	4.4
Real Estate	25,809	9.1	10.0	0 - 15	5.7	6.1	6.3	6.5
CPI + 4.0% p.a.					5.3	6.3	5.6	5.5
Infrastructure	26,637	9.4	10.0	0 - 15	6.2	9.2	11.1	8.3
CPI + 5.0% p.a.					6.0	7.3	6.6	6.5

¹ Source: Willis Towers Watson, University of Victoria Staff Pension Plan - Performance Monitoring Report for Periods Ending September 30, 2018

² All returns shown are gross of fees, except infrastructure, which is net of fees.

³ Current Total Fund Benchmark: 13% S&P/TSX Capped 10% + 27% MCSI World Ex Canada Net + 40% FTSE TMX Universe Bond + 10% CPI + 4% + 10% CPI + 5%

⁴ The total may not equal the sum of the parts due to rounding



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

January 14, 2019

FOR DECISION

To: FINANCE COMMITTEE

From: Vice-President Finance and Operations 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: University of Victoria Staff Pension Plan
Statement of Investment Policies and Goals

Basis for Jurisdiction: Section E(2) of the Staff Pension Plan Governance Policy

Strategic Relevance:

Strategy 5.5-

Ensure the financial sustainability of the university and our ability to pursue excellence by optimizing existing resources through careful planning, earning public support, attracting partnerships, and pursuing a revitalized program to grow and diversify resources through philanthropic and other means.

Previous Consultation:

University of Victoria Staff Pension Plan Investments and Administration Committee

Recommendation:

THAT the Finance Committee recommend to the Board of Governors that the Board of Governors approve the proposed amendments to the University of Victoria Staff Pension Plan Statement of Investment Policies and Goals, effective immediately.

Background:

In 2018, the Staff Pension Plan Investments and Administration Committee (IAC) completed an Asset Liability Modeling (ALM) Study for the Staff Pension Plan, with the assistance of the Plan's investment consultant Willis Towers Watson (WTW). The previous ALM was completed in 2013.

The main objective of an ALM study is to review the current asset mix to determine whether any changes could be made to improve the Plan's financial health. For this review, the IAC's objective was to determine if there were ways to reduce the Plan's sensitivity to interest rate changes, decrease the likelihood of a contribution rate increase, and ensure the long term sustainability of the going concern funding ratio. Following recommendations from WTW, the IAC reviewed various possible changes to the portfolio, examining the expected performance of the current policy versus the expected performance of alternative mixes. Throughout this process, the IAC considered potential liquidity implications, solvency and going concern ratios impacts, the effects on contribution rates over the time period projected, and other measures. The ALM results indicate that modest changes in the asset mix could help to mitigate interest rate risk and reduce the portfolio volatility through reduced reliance on equities, while achieving similar or improved overall performance. As a result, the IAC undertook a portfolio construction analysis with a view of determining which adjustments would be most beneficial when combined into an alternative portfolio.

At its meeting of November 15, 2018, the IAC recommended a proposed portfolio be implemented. The recommended amendments shown below are therefore reflected in the updated "Combined Fund Benchmark and Asset Component Ranges" table on page 5 of the attached blacklined SIP&G:

- A decreased allocation to Canadian Equities (from 13% to 10%)
- An increased allocation to Global Equities (from 27% to 30%)
- A decreased allocation to Fixed Income (from 40% to 35%)
- An increased allocation to Infrastructure (from 10% to 15%)

Minimum and maximum ranges, as well as benchmark weights were also amended to respond to the above changes in benchmark allocations. These revisions are reflected in the updated "Manager Rebalancing Guidelines" table on page 7, as well as the "Combined Fund Benchmark" table on page 14 of the attached blacklined SIP&G. Allocation to Real Estate remains unchanged at 10%.

All other suggested amendments are housekeeping in nature.

Planned Further Action:

The SIP&G will be distributed to managers for implementation, and to the Financial Institutions Commission, as per established procedures.

Attachment:

Draft amended Staff Pension Plan SIP&G.

**UNIVERSITY OF VICTORIA
STAFF PENSION PLAN**

**STATEMENT OF INVESTMENT
POLICIES AND GOALS**

29 January 2001

as last revised January ~~31~~28, 2019~~8~~

Approved by the Board of Governors

Chair

Vice President Finance and Operations

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**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
STATEMENT OF INVESTMENT POLICIES AND GOALS**

I – INTRODUCTION

A – Purpose of the Investment Policy

The purpose of this investment policy (the Policy) is to provide a framework for management of the pension fund within levels of risk acceptable to the Staff Pension Plan Investment Committee (the Committee), which reports through the Finance Committee to the Board of Governors of the University.

A major goal of this policy statement is to establish ongoing communication between the Committee and the investment manager. Effective communication will contribute to the management of the portfolio in a manner that is consistent with market conditions and with the objectives of the Committee. Consultation between the parties will take the form of regular meetings supplemented, from time to time, by informal contact requested by the parties.

Restrictions listed in this policy are complementary to those that must be adhered to as specified within the Pension Benefits Standards Act (BC) and the Income Tax Act (Canada), as amended from time to time.

B – Nature of the Plan

In order to establish an appropriate Policy for the investment and administration of the Plan assets, it is important to understand the nature of the obligations that are being funded. Accordingly, this section of the Policy summarizes various aspects of the Plan that impact investment return requirements and risk tolerance.

The Plan is a contributory defined benefit pension plan. Its primary purpose is to provide retirement and related benefits for employees of the University of Victoria who are members of the Specialist/Instructional, Office and Technical, Maintenance and Food Services, Exempt and Other staffs. The Fund includes the Basic Plan and the Supplementary Retirement Benefit Account.

Members are required to contribute 4.53% of their basic salary up to the Canada Pension Plan Year's Maximum Pensionable Earnings (YMPE) (\$54,900 in 2016), and 6.28% of their basic salary in excess of that amount to the Basic plan to fund basic pension benefits. The University contributes 11.75% to fund the Basic plan. The normal annual retirement benefit is years of credited service times 2% of the five-year final average earnings below final average YMPE for service prior to 1966, 1.65% for service from 1966 to December 1989, 1.3% for 1990 and 1991, 1.5% for 1992 through 1999 and 1.7% thereafter, and 2.0% of the five-year final average earnings above the final average YMPE. Retirement benefits are indexed to CPI up to a maximum of 3.0% per annum.

Supplementary member contributions of 0.25% of salary, matched by the University, are directed to a Supplementary Retirement Benefit Account. The purpose of this account is to provide cost of living adjustments above the 3.0% per annum guaranteed by the Plan. Supplementary retirement benefits paid out of this account are permanent (will not decrease) and must be financed on a sound actuarial basis from the assets in the account.

With respect to actuarial liabilities accrued to date, on 31 December, 2013, the date of the latest actuarial valuation, the Total Plan had a surplus of 26.5 million on assets of 208.7 million and liabilities of 182.2 million.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
STATEMENT OF INVESTMENT POLICIES AND GOALS**

From a cash flow perspective, net inflows from member and University contributions are close in amount to outflows for benefit payments, transfers, and expenses. Cash inflow from investment income and capital gains is providing solid growth for the Fund.

Nearly one-half (50%) of the active members are under age 50 and around 30% of the active members are age 55 or older and are eligible to retire. In summary, the age distribution indicates that the majority of members will not retire for many years, suggesting that a long-term investment horizon is appropriate. The age distribution is gradually shifting toward older members, but should not change dramatically, as new, younger members replace retirees.

In conclusion, a strong financial position, healthy cash flow and a relatively young plan, indicates the Plan can assume an above-average level of investment risk.

C – Distinction of Responsibilities

Responsibility for the Fund rests with the Board of Governors. The Board, through its Finance Committee, has assigned review responsibility for the administration and management of the Plan's assets to the Staff Pension Plan Governance Committee and the Staff Pension Plan Investments and Administration Committee. Day-to-day responsibility for the investment management of the Plan's assets has been delegated to professional investment managers. Trusteeship and custody of the Plan's assets, and the responsibility to account for them, has been delegated to an external custodian. The Investment Consultant is responsible for calculating returns, monitoring performance and providing information to the Committee on issues, industry trends, best practices and legislative developments.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
STATEMENT OF INVESTMENT POLICIES AND GOALS**

II – ASSET MIX AND DIVERSIFICATION POLICY

A – Long Term Mission Statement

The long-term investment goal of the Fund is to achieve a minimum annualized rate of return, after taking account of investment expenses, of four percentage points in excess of the Canadian Consumer Price Index. This 4.0% real return objective is consistent with the overall investment risk level that the Fund could assume in order to meet the pension obligations of the Plans, and normally will be assessed over longer time periods; i.e. over ten years or more. Progress towards this goal will be monitored on rolling 4-year bases.

To achieve this long-term investment goal, the Fund has adopted an asset mix that has a bias to equity investments and active investment management. Active management provides the opportunity to outperform specific investment benchmarks.

Risk is controlled by investing in a well diversified portfolio of asset classes and managers.

B – Combined Fund Primary Objective and Asset Mix Guidelines

The primary Fund objective is to earn a return, net of investment fees, that exceeds the rate of return over rolling four year periods (including reinvested dividends and income) from a benchmark portfolio constructed from rates of return on the Toronto Stock Exchange S&P/TSX Composite Index (the “S&P/TSX”), the Morgan Stanley Capital International World ex-Canada Net Index (the “MSCI World ex-Canada Net”) (in Canadian dollars), the FTSE TMX Canada Universe Bond Index (the FTSE TMX Canada Universe”), the Canadian Consumer Price Index plus 4% for the real estate investment and the Canadian Consumer Price Index plus 5% (for the infrastructure investment).

The following table presents the current total fund benchmark and asset component ranges, based on market values.

COMBINED FUND BENCHMARK AND ASSET COMPONENT RANGES			
	Minimum %	Benchmark* %	Maximum %
Equities			
Canadian equities	<u>85</u>	<u>1310</u>	<u>1815</u>
Foreign-Global equities	<u>2224</u>	<u>2730</u>	<u>3236</u>
Total Equities	<u>3029</u>	40	<u>5051</u>
Fixed Income			
Fixed Income Bonds	<u>3028</u>	<u>4035</u>	<u>5042</u>
Mortgages	0	0	5
Short term investments	0	-0	15
Alternatives			
Infrastructure/private equity	<u>010</u>	<u>1015</u>	<u>1520</u>
Real estate	0	10	15
TOTAL FUND		100	

The Fund will aim to manage the volatility of the assets relative to the liabilities to mitigate the risk of underfunding. The Fund will consider both the return and volatility objectives when setting the asset mix.

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There are a variety of risks inherent in the investment strategy over a market cycle. These risks include:

- liquidity;
- the possibility that active management may not add value or may be negative;
- the possibility that the annual volatility of returns may differ from long term returns; and
- interest rate, inflation, credit, longevity, currency and other economic and market risks.

These risks and other risks not explicitly stated here have been recognized in determining the most appropriate investment strategy.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
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C – Manager Rebalancing Guidelines

The assets of the Fund are managed under six mandates. In order to ensure adequate diversification by both asset class and by manager, the Board has established the following parameters to guide the allocation of assets to each of the Fund's investment managers where rebalancing is possible (i.e., all managers except the infrastructure manager).

MANAGER REBALANCING GUIDELINES (% of Market Value – excluding Infrastructure assets)			
Manager	Minimum %	Target %	Maximum %
Fixed Income Manager	<u>40.033</u>	<u>45.041</u>	<u>55.049</u>
*Canadian Equity Manager(s) <u>–</u> *	<u>9.06</u>	<u>14.012</u>	<u>19.018</u>
Foreign-Global Equity Manager	<u>25.028</u>	<u>-30.035</u>	<u>-35.042</u>
Real Estate Manager	<u>0.06</u>	<u>-11.012</u>	<u>17.018</u>

*total allocation to all Canadian Equity Managers

Implementation of the rebalancing is the responsibility of the University, specifically the Pension and Investment Services Department.

Procedures

The Fund will be managed to maintain sufficient liquidity to fund benefit payment outflows or other obligations for the Plan as needed. Consideration will be given to liquidity needs when structuring the portfolios for the Fund.

The rebalancing guidelines are intended to assist in managing the asset mix. Neither rebalancing for market fluctuations, nor allocation of new cash flow, will be used as a method to reward or express dissatisfaction with manager performance. Manager performance is a long term measure and will be dealt with during manager performance reviews.

Pension and Investment Services will allocate monthly cash flows to or from the Fixed Income Manager. Should a manager's range be breached, that manager will be rebalanced to the target weight plus 2% in the case of a breach of the maximum and less 2% in the case of a breach of the minimum. The rebalancing shall be achieved by transferring cash to (from) the other manager's portfolio at the end of the following month. This will allow the manager required to raise cash approximately five weeks to raise the necessary amount. The proposed rebalancing may be cancelled at any time at the discretion of the Pension and Investment Services Department if market forces have moved the portfolio weights such that the restructuring is no longer appropriate.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
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D – Asset Mix Ranges for the Active Managers

The following table presents the asset mix policy for the fixed income manager, the ~~foreign-global~~ equity manager and the real estate manager. – These limits are necessary to ensure that the Combined Fund asset mix remains within the ranges established in Section II.B above.

FIXED INCOME MANAGER			
	Minimum	Benchmark*	Maximum
	%	%	%
Bonds	85.0	100.0	100.0
Mortgages	0	0	10
Short term investments	0	0	15
TOTAL		100	
Investments in pooled funds are deemed to be fully invested in that pooled fund's asset class even though the pooled fund may have cash reserves.			
* Effective November 2008			

CANADIAN EQUITY MANAGERS			
	Minimum	Benchmark*	Maximum
	%	%	%
Canadian equities	90.0	100.0	100.0
Short term investments	0	0.0	10.0
TOTAL		100.0	
Investments in pooled funds are deemed to be fully invested in that pooled fund's asset class even though the pooled fund may have cash reserves.			
* Effective 24 June 2008			

FOREIGN-GLOBAL EQUITY MANAGER			
	Minimum	Benchmark*	Maximum
	%	%	%
Foreign-Global equities	90	100	100
Short term investments	0	0	10
TOTAL		100	
Investments in pooled funds are deemed to be fully invested in that pooled fund's asset class even though the pooled fund may have cash reserves.			
* Effective 1 July 2005			

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
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REAL ESTATE MANAGER			
	Minimum %	Benchmark* %	Maximum %
Canadian Real estate	90	100	100
Short term investments	0	0	10
TOTAL		100	
Investments in pooled funds are deemed to be fully invested in that pooled fund's asset class even though the pooled fund may have cash reserves.			
* Effective 1 October 2007			

E – Foreign Currency Hedging

The Fixed Income Manager, the ~~Foreign-Global~~ Equity Manager and the Infrastructure Manager will/may purchase securities denominated in foreign currencies.- At its discretion, the Committee may direct a manager to hedge some or all of its foreign currency exposures. The Committee will make such direction for defensive or strategic reasons.

If the Committee directs a manager to hedge some or all of its foreign currency exposures, the benchmark for the mandate will be adjusted accordingly.

It is anticipated that the ~~foreign-global~~ equity exposure associated with the Infrastructure Manager will be hedged. -The Infrastructure Manager doesn't offer currency hedging services, so the foreign currency exposure will be hedged by a different entity (an existing manager or custodian).

III – PERMITTED AND PROHIBITED INVESTMENTS

A – General Guidelines

The investments of the Fund must comply with the requirements and restrictions imposed by the applicable legislation, including but not limited to the requirements of the British Columbia Pension Benefits Standards Act and Regulations, which refers to the federal Pension Benefits Standards Act on investment related issues, the Income Tax Act and Regulations, and all subsequent amendments.

In general and subject to the restrictions noted below, the Fund may invest in any of the following asset classes and investment instruments:

B – Canadian and ~~Foreign-Global~~ Equities

- common and convertible preferred stock, listed on a recognized exchange
- debentures convertible into common or convertible preferred stock
- rights, warrants and special warrants for common or convertible preferred stock
- installment receipts, American Depository Receipts or other recognized depository receipts
- exchange traded index participation units (i.e., i60s and SPDRS)

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C – Fixed Income - Bonds and Mortgages

- bonds, debentures, notes, non-convertible preferred stock and other evidence of indebtedness of Canadian issuers whether denominated and payable in Canadian dollars or a foreign currency
- mortgages secured against Canadian real estate subject to Section III. I below
- mortgage-backed securities, guaranteed under the National Housing Act
- commercial mortgage-backed securities rated AAA
- term deposits and guaranteed investment certificates
- private placements of bonds and asset-backed securities subject to Section III. H

D – Fixed Income - Cash and Short Term Investments

- cash on hand and demand deposits
- treasury bills issued by the federal and provincial governments and their agencies
- obligations of trust companies and Canadian and foreign banks chartered to operate in Canada, including bankers' acceptances
- commercial paper and term deposits

E – ~~Canadian~~ Real Estate

- ~~Canadian~~ Real estate holdings, primarily institutional grade office, industrial, residential, retail or mixed-use properties
- full ownership or partial ownership interests in real estate holdings

F – Infrastructure

Domestic or foreign infrastructure assets as defined by investment manager(s), either full or partial ownership

G – Other Investments

- investments in open-or closed-ended pooled funds provided that the assets of such funds are permissible investments under the Policy
- deposit accounts of the custodian can be used to invest surplus cash holdings
- currency forward and futures contracts used for defensive purposes only
- exchange-traded equity index futures and over-the-counter equity swaps designed, in either case, to replicate the performance of a recognized market index, provided;
 - o such instruments are not used for speculative purposes or on a leveraged basis; and
 - o all swap counterparties are rated A- or better by S&P or another recognized credit rating agency; and net credit exposure is subject to collateral requirements.

H –Minimum Quality Requirements

Within the investment restrictions for a Manager's portfolio, including pooled funds, all portfolios should hold a prudently diversified exposure to the intended market.

- in general, the minimum quality standard for individual bonds and debentures and asset-backed securities is "BBB" or equivalent as rated by a recognized bond rating agency, at the time of purchase (includes all sub-rating levels within the overall "BBB" rating)

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- bonds rated "B" to "BB" ("high yield" bonds) are permissible as part of a diversified pool of high yield securities, subject to the quantity restrictions in III – I that follow
- unrated bonds should be assigned a rating by the investment manager before purchase
- the minimum quality standard for individual short term investments is "R-1 Low" or equivalent as rated by a recognized bond rating agency, at the time of purchase
- all investments shall be reasonably liquid (i.e., - in normal circumstances they should be capable of liquidation within three months)
- due to the relative illiquidity of mortgages, the net yield at the time of commitment should exceed the yield on Government of Canada bonds of a similar term by a minimum of 1%, after deduction of all administrative fees
- the amount of the mortgage loan may not exceed 75% of the appraised value
- the property mortgaged must be located within a metropolitan area including the recognized suburbs of all principal Canadian cities.
- the leverage on overall real estate holdings is not to exceed 35% of the value of the overall real estate portfolio

I – Maximum Quantity Restrictions

The following restrictions are to be respected:

Equities

- no one equity holding shall represent more than 10% of the total equities for a manager
- no one equity holding shall represent more than 15% of the related equity holding for a manager
- no one equity holding shall represent more than 10% of the voting shares of a corporation
- no one equity holding shall represent more than 10% of the available public float of such equity security

Fixed income - Bonds, Mortgages and Short Term Investments

- except for federal and provincial bonds (including government guaranteed bonds), no more than 10% of the Manager's bond portfolio may be invested in the bonds of a single issuer and its related companies
- except for federal and provincial bonds, no one bond holding shall represent more than 10% of the market value of the total outstanding for that bond issue
- "BBB" bonds may not be purchased if the purchase would raise the "BBB" holdings to more than 25% of the market value of the bond portfolio
- up to 5% of the market value of the bond portfolio may be invested in high yield bonds as outlined in III -H above
- no more than 15% of the market value of the Manager's bond portfolio shall be invested in bonds denominated in currencies other than Canadian dollars

Pooled Fund/Limited Partnership Investments

- an investment by the Fund in a single pooled fund or limited partnership should not exceed 10% of the market value of that fund or partnership unless provision has been made to transfer assets out of the fund or partnership "in kind"

J – Prior Permission Required

The following investments require prior permission from the Committee:

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- investments in private placement equities,
- direct investments in resource properties,
- direct investments in venture capital financing,
- investments in units of investment trusts (e.g. REITS or resource trust units), except where legislation has been enacted to limit liability
- investments in bonds of foreign issuers
- derivatives other than those otherwise permitted in Section III G above, and
- investments in any other securities not specifically referenced in this policy statement.

K – Securities Lending

The securities of the Fund may not be loaned, except within pooled funds where the pooled fund investment policy permits securities lending. In such cases, the manager of the pooled fund must disclose the securities lending policies to the Committee.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
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IV – MONITORING AND CONTROL

A – Delegation of Responsibilities

Overall responsibility for the Plan's assets rests with the Board of Governors of the University of Victoria. The Committee makes recommendations to the Board through its Finance Committee on investment policy and investment managers and is also charged with ensuring the Plan conforms to legislation and monitoring investment performance.

In completing the above duties a number of responsibilities have been delegated:

The Manager will:

- confirm in writing that they have read and will comply with this Policy,
- invest the assets of the Fund in accordance with this Policy, and in a manner that a reasonable and prudent person would apply in respect of a portfolio of investments made on behalf of another person to whom there is owed a fiduciary duty to make investments without undue risk of loss and with a reasonable expectation of return on the investments commensurate with the risk,
- meet with the Committee as required and provide written reports regarding their past performance, their future strategies and other issues as requested, and
- file quarterly compliance reports (see Section IV.D).

The custodian/trustee will:

- maintain safe custody over the assets of the Fund,
- execute the instructions of the Sponsor, as delegated to any Manager appointed to manage the assets of the Fund, and
- record income and provide monthly financial statements to the Sponsor as required.

The actuary will:

- provide actuarial valuations of the Plan as required, and
- provide advice to the Board of Governors on any matters relating to plan funding and contribution rates.

The investment consultant will:

- meet with the Committee as required and provide written reports regarding the fund's quarterly and annual investment performance by asset class, manager and plan with comparisons to the benchmark indices and universe,
- provide the Committee with commentary on manager performance and issues, and
- provide the Committee with updates on industry trends, investment issues, best practices and legislative developments and their potential relevance to the Plan.

The Pension and Investment Services Department will:

- prepare the agenda and minutes for each meeting of the Committee,
- prepare quarterly Fund compliance reports for the Committee,
- implement policies approved by the Committee and/or Board of Governors,
- propose changes to policies,
- review the monthly reports from the custodian to monitor compliance of the Plan with policy and applicable legislation and of each manager with their mandate,
- review the asset mix on each month's custody report and direct the Plan custodian to transfer cash between managers if a manager's range is breached and a reallocation is determined to be appropriate,

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- prepare annual financial statements, and
- advise the Committee of any exceptional issues that arise in the day-to-day operations and monitoring of the Fund and the Managers.

The auditor will

- audit and prepare an auditor's report on the financial statements of the Plan as prepared by the Pension and Investment Services Department

B - Compliance

Any two of either the President, Vice-President Finance and Operations, or one order-in-council member of the Board of Governors may approve a temporary contravention of the restrictions in Section II or Section III. This contravention must not exceed that of a prudent person and must be immediately communicated to the Committee and reported with a full explanation to the Finance Committee of the Board of Governors at its next regularly scheduled meeting.

C – Performance Measurement

The performance of the Fund shall be measured quarterly and return calculations shall be as follows:

- time weighted rates of return,
- total returns, including realized and unrealized gains and losses and income from all sources, and
- measurement against performance objectives will normally be assessed over rolling four-year periods.

Combined Fund Benchmark

The primary objective for the Fund is to earn CPI + 4.0%. The combination of market indices forming the benchmark has been set to achieve an expected return of CPI + 4.0% at the date the asset mix was implemented. The benchmark consists of the following market index total returns weighted as indicated:

COMBINED FUND BENCHMARK*	
S&P/TSX Composite Index	103
MSCI World ex-Canada Net Index (Cdn. \$)	3027
FTSE TMX Canada Universe Bond Index	3540
CPI plus 4% per annum	10
CPI plus 5% per annum	105% [†]
	100%

- 30 November 2010

[†] it is recognized that the 10% allocation to infrastructure will take time to achieve. This is to be taken into consideration when evaluating Combined Fund performance from April 1, 2008 until the target allocation to infrastructure has been achieved

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Active Manager Benchmarks

The benchmark portfolio consists of the following market index total returns weighted as indicated:

FIXED INCOME MANAGER BENCHMARK*	
FTSE TMX Canada Universe Bond Index	100%

• effective 1 December 2008

CANADIAN EQUITY MANAGERS BENCHMARK*	
S&P/TSX Composite Index	100%

* effective 1 December 2008

FOREIGN GLOBAL EQUITY MANAGER BENCHMARK*	
MSCI World ex-Canada Net Index (Cdn. \$)	100%

* effective 1 October 2007

REAL ESTATE MANAGER BENCHMARK*	
CPI plus 4% per annum	100%

• effective November 30, 2010

INFRASTRUCTURE MANAGER BENCHMARK*	
CPI plus 5% per annum	100%

* effective 1 April 2008

The benchmark performance objectives for the active Managers are tailored to the specific mandate established for each Manager. Accordingly, the asset class performance objectives may change over time. Currently, the objectives are as follows:

Canadian equities (active)	=	S&P/TSX Composite Index total return + 1.0%
Canadian equities (indexed)	=	S&P/TSX Composite Index total return
Foreign Global equities	=	MSCI World ex-Canada Net Index (Cdn. \$) + 1.00% net of fees
Fixed Income Bonds	=	FTSE TMX Canada Universe Bond Index total return + 0.50% (FTSE TMX Canada Short Term Bond Index return plus + 1% for Mortgages) ²
Real estate	=	CPI +4%
Infrastructure	=	Change in the Canadian Consumer Price Index plus 5% per annum

² The Fixed Income Manager “views mortgages as a component of (their) Fixed Income allocation and one of multiple strategies to add value over the FTSE TMX Canada Universe Bond Index. (They) also combine bonds and mortgages for trading and compliance monitoring purposes.

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The market indices referred to in this section may be changed to match the specific investment mandates for the investment managers selected to manage the portfolio, recognizing that at all times the Fund must be managed in accordance with the asset mix guidelines and permitted and prohibited investments set out in Sections II and III above.

D – Monitoring and Rebalancing the Fund’s Asset Mix

In order to ensure that the Fund operates within the guidelines stated in this Policy, the Pension and Investment Services Department shall monitor the asset mix on a monthly basis. Subject to the rebalancing guidelines and procedures in Section II.C, the Pension and Investment Services Department will affect the rebalancing by transferring cash or securities between portfolios. Rebalancing may also be effected by redirecting the net cash flows to and from the Fund.

E – Reporting by the Investment Managers

On a calendar quarterly basis, the Manager will provide a performance report and a strategy review for the portfolio under management.

Also, with the exception of the Infrastructure Manager, the Manager is required to complete and sign a compliance report each quarter. The compliance report should indicate whether or not the Manager’s portfolio was in compliance with this Policy during the quarter. Copies of the compliance reports must be sent to the Committee. Report formats for the compliance reports are included under the appendix.

In the event that a Manager is not in compliance with this Policy, the Manager is required to advise the Committee immediately, detailing the nature of the non-compliance and recommending an appropriate course of action to remedy the situation.

If the Manager believes the Asset Mix Guidelines are inappropriate for anticipated economic conditions, the manager is responsible for advising the Committee that a change in guidelines is desirable and the reasons therefore.

The Manager should advise the University immediately of changes in style or in the policies, personnel or ownership of the firm.

The manager is required to report on proxy voting as outlined in section V – D Voting Rights.

The Fund invests in pooled funds, which have separate investment policies. Should a conflict arise between the provisions of this Policy, and the provisions of the pooled fund’s investment policy, the investment mandate of the Pooled Fund will prevail over the Statement of Investment Policies.

F – Investment Policy Review

This Policy may be reviewed and revised at any time, but it must be formally reviewed by the Committee at least once in every calendar year. A more detailed study of the asset allocation will be undertaken following an actuarial valuation.

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
STATEMENT OF INVESTMENT POLICIES AND GOALS**

V – OTHER ISSUES

A – Conflicts of Interest

Responsibilities

This standard applies to the members of the Committee and the University of Victoria Administrative staff, as well as to all agents employed by them, in the execution of their responsibilities under the British Columbia Pension Benefits Standards Act (the “Affected Persons”).

An “agent” is defined to mean a company, organization, association or individual, as well as its employees, who are retained by the Committee to provide specific services with respect to the investment, administration and management of the Fund.

All Affected Persons shall exercise the care, diligence and skill that a person of ordinary prudence would exercise in dealing with the property of another person.

Disclosure

In the execution of their duties, the Affected Persons shall disclose any material conflict of interest relating to them, or any material ownership of securities, which could impair their ability to render unbiased advice, or to make unbiased decisions, affecting the administration of the Fund.

Further, it is expected that no Affected Person shall make any personal financial gain (direct or indirect) because of his or her fiduciary position. However, normal and reasonable fees and expenses incurred in the discharge of their responsibilities are permitted if documented and approved by the Committee.

No Affected Person shall accept a gift or gratuity or other personal favor, other than one of nominal value, from a person with whom the individual deals in the course of performance of his or her duties and responsibilities for the Committee.

It is incumbent on any Affected Person who believes that he/she may have a conflict of interest, or who is aware of any conflict of interest, to disclose full details of the situation to the attention of the Committee Chair immediately. The Committee Chair, in turn, will decide what action is appropriate under the circumstances but, at a minimum, will table the matter at the next regular meeting of the Committee, if material.

No Affected Person who has or is required to make a disclosure as contemplated in this Policy shall participate in any discussion, decision or vote relating to any proposed investment or transaction in respect of which he or she has made or is required to make disclosure.

B – Related Party Transactions

The administrator of the plan may not enter into a transaction with a related party unless:

- the transaction is required for the operation or administration of the plan and the terms and conditions of the transaction are not less favourable to the plan than market terms and conditions;
- the securities of the related party are acquired at a public exchange; or
- the combined value of all transactions with the same related party is nominal or the transaction(s) is immaterial to the plan.

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For this section of the policy, market value of the combined assets of the plan will be used as criterion to establish whether a transaction is nominal or immaterial to the plan. Transactions less than .5% of the combined market value of the assets of the plan are considered immaterial.

"Related party" is defined in section 1 of Schedule III to the Pension Benefits Standards Regulations, 1985 (Canada). A related party is a person who is the administrator of the plan including any officer, director or employee of the administrator, or any person who is a member of a pension committee, board of trustees or other body that is the administrator of the plan. It also includes, the investment managers and their employees, a union representing employees of the employer, a member of the plan, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. Related party does not include government or a government agency.

C – Valuation of Securities Not Regularly Traded

The following principles will apply for the valuation of investments that are not traded regularly:

- equities: average of bid-and-ask prices from two major investment dealers, at least once every calendar quarter;
- bonds: same as for equities; and
- mortgages: on a mark to market basis.
- real estate: on an appraisal basis; and
- infrastructure; on a fair value basis (using appraisals).
-

D – Voting Rights

The Committee has delegated voting rights acquired through pension fund investments to the custodian of the securities, to be exercised in accordance with the investment manager's instructions. The investment manager is expected to vote all proxies in the best interests of the beneficiaries of the Plan.

The Committee, however, may take back voting rights for specific situations, provided the securities are not held in pooled funds.

For private placements, voting rights will be delegated to the investment manager, or voted directly by a Committee representative.

The manager should disclose their corporate governance and proxy voting policies and report annually on (1) whether all eligible proxies were voted on the Plan's behalf and (2) if the proxy voting guidelines were followed and report on any deviations.

E – Directed Brokerage Commissions

A variety of brokers should be used in order to gain maximum utilization of the services available. It is the responsibility of the manager to ensure that the commission distribution is representative of the services rendered.

The University does not use directed commissions (i.e. soft dollars) to pay for any goods or services. The Manager may use soft dollars to pay for research and other investment-related services with disclosure to the Committee, provided they comply with the Soft Dollar Standards promulgated by CFA Institute

F – Reasons for Terminating an Investment Manager

Reasons for considering the termination of the services of the Manager include, but are not limited to, the following factors:

- performance results, which over a reasonable period of time, are below the stated performance benchmarks;
- changes in the overall structure of the Fund such that the Manager's services are no longer required;
- change in personnel, firm structure and investment philosophy, style or approach which might adversely affect the potential return and/or risk level of the portfolio; and/or
- failure to adhere to this Policy.

- END -

APPENDIX

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
FIXED INCOME FUND MANAGEMENT
COMPLIANCE REPORT FOR THE PERIOD FROM _____ TO _____**

		GUIDELINES	POLICY COMPLIED WITH YES/NO*
		%	
ASSET MIX (at Market Value)			
BONDS		85 - 100	
MORTGAGES		0 –10	
SHORT TERM & CASH		0 – 15	
CONSTRAINTS			
EQUITIES	- Publicly traded on recognized securities market		
	- Diversification	Max 15% of the market value of an equity portfolio in any single holding	
	- Concentration	Max 10% of the voting or public float stock of any corporation	
		Max 10% of the market value of a pooled fund	
BONDS	- Quality	Min "BBB"	
		"B" to "BB" permissible as part of diversified pool	
	- Quantity	Except for federal or provincial bonds, max 10% in one issuer.	
		Except for federal or provincial, max 10% of a bond issue	
		Max 15% of bond portfolio market value in bonds rated "BBB"	
		Max 5% in high yield bonds	
	- Foreign Pay	Max 15% of market value of bond portfolio	
MORTGAGES	- Yield	Net yield should exceed Government of Canada bonds of a similar term by 1%	
SHORT TERM INVESTMENTS	- Minimum Quality	"R-1 Low" rating	
DERIVATIVES		Limited to currency futures, currency futures and forward currency exchange contracts for defensive purposes	
OTHER INVESTMENTS	- Prior Approval Required		
OTHER	- Statutory Requirements	Must meet requirements for eligible investments outlined in the Pension Benefits Standards Act (BC).	
		Must meet requirements for eligible investments outlined in the Income Tax Act (Canada).	
CONFLICTS OF INTEREST	- Disclosure	Conflicts of interest (if any) disclosed to the Committee Chair	

* Provide actual weight or range where appropriate. If policy not complied with, comment on specifics.

I believe this to be a factual representation of compliance with the Statement of Investment Policies and Goals throughout the reporting period.

Signature and Title

Company Name

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
CANADIAN EQUITY FUND MANAGEMENT
COMPLIANCE REPORT FOR THE PERIOD FROM _____ TO _____**

		GUIDELINES	POLICY COMPLIED WITH YES/NO*
		%	
ASSET MIX (at Market Value)			
EQUITIES		90 – 100	
SHORT TERM & CASH		0 – 10	
CONSTRAINTS			
EQUITIES	- Publicly traded on recognized securities market		
	- Diversification	Max 15% of the market value of an equity portfolio in any single holding	
	- Concentration	Max 10% of the voting or public float stock of any corporation	
		Max 10% of the market value of a pooled fund	
SHORT TERM INVESTMENTS	- Minimum Quality	"R-1 Low" rating	
DERIVATIVES		Limited to equity index options	
OTHER INVESTMENTS	- Prior Approval Required		
OTHER	- Statutory Requirements	Must meet requirements for eligible investments outlined in the Pension Benefits Standards Act (BC).	
		Must meet requirements for eligible investments outlined in the Income Tax Act (Canada).	
CONFLICTS OF INTEREST	- Disclosure	Conflicts of interest (if any) disclosed to the Committee Chair	

* Provide actual weight or range where appropriate. If policy not complied with, comment on specifics.

I believe this to be a factual representation of compliance with the Statement of Investment Policies and Goals throughout the reporting period.

Signature and Title

Company Name

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
GLOBAL EQUITY MANAGEMENT
COMPLIANCE REPORT FOR THE PERIOD FROM _____ TO _____**

		GUIDELINES	POLICY COMPLIED WITH YES/NO*
		%	
ASSET MIX (at Market Value)			
FOREIGN-GLOBAL EQUITIES		90 - 100	
SHORT TERM & CASH		0 – 10	
CONSTRAINTS			
EQUITIES	- Publicly traded on recognized securities market		
	- Diversification	Max 10% of the market value of the equity portfolio in any single holding	
	- Concentration	Max 10% of the voting or public float stock of any corporation	
		Max 10% of the market value of a pooled fund	
SHORT TERM INVESTMENTS	- Minimum Quality	"R-1 Low" rating	
DERIVATIVES		<p>Currency futures and forward currency exchange contracts for defensive purposes, exchange-traded equity index futures and over-the-counter equity swaps designed, in either case, to replicate the performance of a recognized market index, provided;</p> <ul style="list-style-type: none"> - such instruments are not used for speculative purposes or on a leveraged basis; and - all swap counterparties are rated A- or better by S&P or another recognized credit rating agency; and net credit exposure is subject to collateral requirements. 	
OTHER INVESTMENTS	- Prior Approval Required		
OTHER	- Statutory Requirements	Must meet requirements for eligible investments outlined in the Pension Benefits Standards Act (BC).	
		Must meet requirements for eligible investments outlined in the Income Tax Act (Canada).	
CONFLICTS OF INTEREST	- Disclosure	Conflicts of interest (if any) disclosed to the Committee Chair	

* Provide actual weight or range where appropriate. If policy not complied with, comment on specifics.

I believe this to be a factual representation of compliance with the Statement of Investment Policies and Goals throughout the reporting period.

Signature and Title

Company Name

**UNIVERSITY OF VICTORIA STAFF PENSION PLAN
REAL ESTATE MANAGEMENT
COMPLIANCE REPORT FOR THE PERIOD FROM _____ TO _____**

		GUIDELINES	POLICY COMPLIED WITH YES/NO*
		%	
ASSET MIX (at Market Value)			
REAL ESTATE		95 – 100	
SHORT TERM & CASH		0 – 5	
CONSTRAINTS			
REAL ESTATE	Canadian real estate partial or full ownership Canadian real estate-related securities		
	-Leverage	Max 30% of the market value of the real estate portfolio	
SHORT TERM INVESTMENTS	-Minimum Quality	"R-1 low" rating	
DERIVATIVES		Not permitted	
OTHER INVESTMENTS	-Prior Approval Required		
OTHER	-Statutory Requirements	Must meet requirements for eligible investments outlined in the Pension Benefits Standards Act (BC).	
		Must meet requirements for eligible investments outlined in the Income Tax Act (Canada).	
CONFLICTS OF INTEREST	-Disclosure	Conflicts of interest (if any) disclosed to the Committee Chair	

* Provide actual weight or range where appropriate. If policy not complied with, comment on specifics.

I believe this to be a factual representation of compliance with the Statement of Investment Policies and Goals throughout the reporting period.

Signature and Title

Company Name

Managers Released from Providing Quarterly Compliance Reports

Managers:	Manager Mandate	Date of Approval
Macquarie	Infrastructure	December 4 th , 2017
JP Morgan	Infrastructure	December 4 th , 2017

Legislative Constraints

Pension Benefits Standards Act (BC) Constraints

The Regulations to the PBSA (BC) state that investments made after July 1, 1994 must be made in accordance with the investment policy of the plan and Schedule III to the Pension Benefits Standards Regulations, 1985 (Canada), SOR/87-19, as amended from time to time.

Pension Benefits Standards Act Regulations, 1985 (Canada) Constraints

The quantitative rules in Schedule III to the Federal PBSA Regulations include:

- | | | |
|----|---|--|
| 1. | Maximum investment in one company's securities | 10% of the marketvalue of the Fund |
| 2. | Maximum proportion of the voting shares of any company | 30% |
| 3. | Maximum holding in one parcel of real estate or one resource property | 5% of the book value of the Fund at the time the investment is made |
| 4. | Maximum aggregate holding of resource properties | 15% of the book value of the Fund at the time the investment is made |
| 5. | Maximum aggregate holding of real estate and resource properties combined | 25% of the book value of the Fund at the time the investment is made |

Income Tax Act (Canada) and Canada Revenue Agency Constraints

1. No money is to be borrowed by the Fund, except for the purpose of acquiring real property or occasionally for 90 days or less as provided in Income Tax Regulation 8502(i).
2. No prohibited investment (see Income Tax Regulation 8514) may be purchased, such as the securities of a participating employer, if the shares of that employer are not listed on one of the stock exchanges prescribed in Income Tax Regulations 3200 or 3201.



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

January 14, 2019

FOR DECISION

To: EXECUTIVE AND GOVERNANCE COMMITTEE

From: VICE-PRESIDENT FINANCE AND OPERATIONS

A handwritten signature in black ink, appearing to read "G. Hill".

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: LONG TERM DISABILITY TRUST AGREEMENT UPDATE

Basis for Jurisdiction: Committee's Terms of Reference 6.8

Strategic Relevance:

Strategy 1.1

One of the priorities of the strategic framework is to cultivate an extraordinary environment, which is achieved through a diverse workforce of exceptionally talented faculty and staff. Part of attracting and retaining faculty and staff is a strong benefits package, which includes a Long Term Disability plan. As such, good governance of the Long Term Disability plan is critical.

Recommendation:

THAT following the recommendation of the Board of Trustees of the Long Term Disability Trust, the Executive and Governance Committee recommend to the Board of Governors that the Board of Governors approve the enclosed update to the Long Term Disability Trust Agreement.

Background:

The Long Term Disability Trust was established July 1, 2007 to receive and administer employee-funded long term disability contributions for UVic's faculty and administrative and academic professional staff.

The Trust was initially established with three Trustees, including a Dean, the AVP Human Resources and the Executive Director, Financial Services. These three positions provide experience in senior management, Human Resources and Finance. At the time of establishing the Trust by UVic, it was intended that representation from the members be added in the future.

By 2011, it became apparent that the function of the Trust was not widely known amongst plan members. To help address this, the Board approved a recommendation that the Trust Agreement be amended to add a Trustee nominated from each of the two largest groups representing members of the plan; that is, by each of the Faculty Association and the Professional Employees Association. As noted to the Board at that time, the long term goal was to select these two new Trustees pursuant to regular elections by plan members, similar to the process used by the pension plan for faculty and administrative and academic professional staff.

Discussion:

Today the Trustees oversee over \$14 million in assets. Given the composition of the Trustees, with the majority of Trustees appointed by the UVic Board of Governors, the university is required to include the annual financial results of the LTD Trust in the overall university financial statements, even though these assets and their use are restricted for specific purposes (e.g., LTD benefits) and therefore are not available to support general operations¹.

This requirement means that the LTD plan's annual actuarial gains and losses are consolidated with, and can materially affect, the reported financial position of the university. For example, last year the LTD Trust reported a \$4 million actuarial gain and accounted for almost half of the annual excess of revenues over disbursements, even though the funds are not available to the university to support its activities, and, accordingly, do very little to assist readers of the university's financial statements to better understand the financial position and operating activities of the university.

To improve future reporting and to avoid the inclusion of such material variations resulting from actuarial valuations in the future, that could be positive or negative, the university asked the Trustees to review the governance model in place and consider taking steps that would more appropriately reflect the relative control over the assets of the university relative to the

¹ As required by Public Sector Accounting Standards. Includes the financial results of each of the University's 13 external entities as well as the staff pension plan and the long term disability trust.

members. In September 2018, the Trustees reviewed the request and agreed to recommend an update to the Trust Agreement that would increase the number of Trustees to six (6) and amend the appointment procedures to ensure that Board-appointed Trustees represent no more than fifty percent (50%) of the total number of Trustees.

Attached are two versions of the recommended update to the Trust Agreement – a marked up version to illustrate the changes and a clean version of the fully amended Trust Agreement. During the drafting process, General Counsel also completed the recommended amendments that the Board had approved in 2011, identified a few corrections necessary in the Agreement, and made a few complementary amendments to further reinforce the lack of university control. The amendments to clause VI and clause XII (2) draw on similar terms in the Combination Pension Plan Trust Agreement where there is shared governance and where the university is not deemed to control the assets. The Trustees met on January 7, 2019 and are recommending approval of the changes to the Trust Agreement as attached.

These recommended updates are an important step towards the long-term goal of selecting up to 50% of Trustees pursuant to regular elections by plan members, similar to the process used by the pension plan for faculty and administrative and academic professional staff. One Trustee will be elected by a vote of the applicable employee group while the unions will continue, for now, to nominate their Trustee candidates. The feedback from the Trustees nominated by the unions was that they would prefer to continue with the union-nominated process at this time and at least until the LTD plan is fully funded – it is 81% funded at this time.

Next Steps:

Discussions have been initiated with the Office of the Auditor General with respect to these changes to the governance of the Trust and accordingly with the determination of control for accounting purposes. These discussions have not yet been completed and, depending on the outcome of these discussions, it may be necessary to request further changes to the Trust Agreement at a future meeting. At this time, we do not believe this will be necessary. We are moving forward with the proposed changes now in order to have the necessary agreements and processes in place prior to March 31, 2019.

Attachments:

- LTD Trust Agreement
- Comparison of LTD Trust Agreement Update to LTD Trust Agreement – formatted 2018 Amendments

TRUST AGREEMENT

THIS AGREEMENT is made the */L* day of *{J,1&LI51}*, 2007,

BETWEEN;

THE UNIVERSITY OF VICTORIA, a body corporate, pursuant to the Revised Statutes of British Columbia, 1996, chapter 468, as amended.

(hereinafter called "the University"),

OF THE FIRST PART

AND:

MURRAY GRIFFITH

PETER SANDERSON

MARY ELLEN PURKIS

(hereinafter called "the Trustees"),

OF THE SECOND PART

WHEREAS:

1. The University has entered into a Long Term Disability Plan ("the Plan") with the British Columbia Life & Casualty Company (BC LIFE) ("the benefit carrier"), being Group Insurance Policy Index 11040, whereby BC LIFE agrees to provide benefits to faculty and administrative and academic professional staff ("qualified employees"); and
2. Further to the Plan semi-monthly contributions are deducted by the University from the salaries of qualified employees; and
3. On the creation of a trust the contributions are to be held by trustees separate and distinct from any moneys belonging to or contributed by the University, and after exhaustion of present funds are to form the sole source from which the monthly payment is made with which to make good the benefit carrier for benefits provided by the said carrier to qualified employees; and
4. Actuarial valuation will continue to determine the contribution rate of employees hereunder qualifying, by means of which the University seeks to produce a fund in excess of experienced benefit payments so as to produce a reserve against future liabilities to the benefit carrier.

NOW THEREFORE THIS AGREEMENT WITNESSES that in consideration of the premises the parties hereto agree as follows:

I. NAME OF THE TRUST

This Trust Agreement is known as "the Long Term Disability Trust" (the "LTD Trust").

II. DEFINITIONS

The following words or terms shall be as defined hereunder unless the context clearly indicates otherwise.

- (1) "Adjudication" - means the assessment process approving or not approving benefit claims.
- (2) "Benefit carrier" - means the British Columbia Life & Casualty Company (BC LIFE), or any subsequent company providing claims adjudication and long term disability benefits to qualified employees.
- (3) "Board of Governors" - means the Board of Governors of the University of Victoria.
- (4) "Board of Trustees" - means all Trustees taken together of the LTD Trust.
- (5) "Chair" - means the chair person of the Board of Trustees.
- (6) "Contributions" - means moneys (i) that have been deducted by the University from the salary of each qualified employee, (ii) that as employee moneys have been remitted by the University to the Trustees, (iii) that are paid by the Trustees to a benefit carrier, (iv) that constitute in the carrier's hands reimbursement for benefit payments made by the carrier to those qualified employees who are approved claimants further to the terms of the Plan.
- (6.1) "Faculty Association" - means the University of Victoria Faculty Association.
- (7) "LTD Trust" - means this Long Term Disability Trust
- (7.1) "Management Excluded Employees" - means union excluded employees of the University covered by the Management Excluded Terms and Conditions of Employment.
- (8) "Plan" - means the Long Term Disability Plan contained in the British Columbia & Casualty Company (BC LIFE) Group Insurance Policy Index 11040.

- (8.1) "Professional Employees Association" means the University of Victoria Chapter of the Professional Employees Association.
- (9) "Qualified employees" - means faculty, administrative and academic professional staff.
- (10) "Reserve" - means that part of the Trust fund that is not immediately required for reimbursement payments to the benefit carrier, and is available to meet future reimbursements of the benefit carrier.
- (11) "Resolution" - means a decision of the Board of Governors recorded in writing.
- (12) "Salary" - means the stipend or earnings of a qualified employee.
- (13) "Secretary" - means the recording officer to the Board of Trustees.
- (14) "Trust Agreement" - means this instrument creating the LTD Trust.
- (15) "Trust fund" - means the property forming at any time and from time to time the subject-matter of the LTD Trust.
- (16) "Trustee" or "Trustees" - means a Trustee or the Trustees of the LTD Trust.
- (17) "University" - means the University of Victoria.

III. PURPOSES OF THE LTDTRUST

- (1) To hold as the Trust fund the contributions of qualified employees";
- (2) To make monthly payments from the Trust fund to the benefit carrier in reimbursement of its payments during the preceding month to qualified employees whose claims it has approved further to the terms of the Plan;
- (3) To build up a reserve of employee deductions in the Trust fund against future reimbursement liabilities to the benefit carrier; and to invest and re-invest the reserve component of the Trust fund.

IV. THE LTD TRUST BENEFICIARIES

Subject to the terms of the Trust, qualified employees for the time being, as the persons for whose exclusive benefit the LTD Trust is designed are the beneficiaries of the Trust.

V. FIRST TRUSTEES

The University has by resolution appointed the following three (3) Trustees:

1. MURRAY GRIFFITH - Executive Director, Financial Services
2. PETER SANDERSON - Associate Vice President, Human Resources
3. MARY ELLEN PURKIS - Dean, Human and Social Development

VI. APPOINTMENT, RESIGNATION, REMOVAL AND TERMS OF OFFICE OF TRUSTEES

- (1) The Trustees shall consist of six persons:
 - (i) three of whom shall be appointed by the Board of Governors ("University Trustees");
 - (ii) one of whom shall be appointed by the Board of Governors following nomination by the executive of the University of Victoria Faculty Association;
 - (iii) one of whom shall be appointed by the Board of Governors following nomination by the executive of the University of Victoria chapter of the Professional Employees Association; and
 - (iv) one of whom shall be elected by a vote of the Management Excluded Employees of the University.

(Trustees appointed by the Board of Governors following nomination by the executive of the Faculty Association or the executive of the Professional Employees Association, or elected by the Management Excluded Employees are called "Member Trustees").

- (2) University Trustees shall be appointed or reappointed for terms not exceeding four years unless they are appointed Trustees by virtue of the University office they hold, in which case they shall hold office as Trustees at the pleasure of the Board of Governors.
- (3) The Board of Governors shall at any time by instrument in writing addressed to the particular University Trustee, have power to remove such University Trustee and appoint a new Trustee in such Trustee's place and stead. Such new Trustee shall have all the powers, authorities and discretions and may in all respects act as if the Trustee had been originally

appointed a Trustee hereunder.

- (4) Member Trustees shall be appointed or elected (as the case may be) for periods of no more than four years from the first day of January, in such a manner that ordinarily the terms of no more than two Member Trustees expire each year. Provided that in each case the trusteeship of the Member Trustees may be sooner terminated in accordance with sub-clause (5) of this clause VI.
- (5) A Trustee shall cease to act and shall be divested of any and all powers hereunder in the following circumstances, and at the following dates:
 - (i) the date the resignation of a Trustee is accepted in writing by the remaining Trustees;
 - (ii) the date when the term of office of the Trustee expires, or on the date the Board of Governors by resolution terminates the trusteeship of a University Trustee;
 - (iii) the Trustee is in writing certified as being of unsound mind;
 - (iv) if by unanimous vote of the remaining Trustees it is resolved that the Trustee is a person unfit, or unable properly, to discharge the duties of trustee or that the Trustee has or is likely to bring the Trustees, the LTD Trust or the University into disrepute; or
 - (v) the Trustee fails to attend any meeting of the Board of Trustees during a period of three consecutive meetings, and the remaining Trustees by resolution removes the Trustee.
- (6) Any vacancy occurring among the University Trustees shall be filled by the Board of Governors within 60 days of such vacancy occurring.
- (7) Any vacancy occurring among the Member Trustees shall be filled:
 - (i) in the case of a Trustee nominated by the executive of the Faculty Association or by the executive of the Professional Employees Association, by nomination by the executive of the Faculty Association or the executive of the Professional Employees Association (as the case may be) and appointment of such nominee by the Board of Governors within 60 days of such vacancy occurring; and
 - (ii) in the case of a Trustee elected by the Management Excluded Employees shall be filled at any special or regular election of the such Member Trustee.
- (8) (i) All Management Excluded Employees are eligible to vote for the election of the Member Trustee elected by Management Excluded Employees and the list of such Members eligible to vote shall be as certified by the Associate Vice-President Human Resources of the University whose decision shall be final.

- (ii) The following provisions shall apply in respect to the election of the Member Trustee elected by Management Excluded Employees:
- (a) The Secretary shall determine the date upon which an election shall be held and give due notice thereof;
 - (b) No person shall be eligible for election unless that person is an Management Excluded Employee and unless a nomination in writing proposed by two other Management Excluded Employees and accompanied by the written consent of the nominee, has been filed with the Secretary at least forty days before such election;
 - (c) At least thirty-five days prior to an election the Secretary, in consultation with the Associate Vice-President Human Resources of the University, shall mail to each Management Excluded Employee eligible to vote a ballot paper containing thereon in alphabetical order the names of all persons duly nominated together with a plain envelope;
 - (d) Any Management Excluded Employee eligible to vote shall vote by placing the Management Excluded Employee's ballot paper, sealed in a plain envelope, and by delivering or posting the same to the Secretary in an envelope addressed to the Secretary, or by such other process approved by the Trustees;
 - (e) The ballots shall be counted by at least three members of the University Human Resources Department;
 - (f) The Trustees may prescribe such forms, rules and regulations for the conduct of such election as they deem necessary from time to time;
 - (g) All costs of holding any election as aforesaid shall be a charge against the LTD Trust; and
 - (h) The election of any Member Trustee shall be authenticated, confirmed and certified by the remaining Trustees. The Trustees may, but shall not be bound to, enquire into or adjudicate upon the propriety or procedure followed in any election. The Trustees may, in their discretion, refuse to confirm the appointment of a new Member Trustee whose election is in dispute, or who in the opinion of the remaining Trustees has been improperly elected, and until a new Member Trustee has been confirmed by the remaining Trustees he or she shall not be empowered to act as a Trustee.

- (iii) Any vacancy occurring during a term of office of a Member Trustee elected by the Management Excluded Employees shall be filled within sixty days from the date of such vacancy occurring by the appointment of a member of the Management Excluded Employees by the Trustees and such appointee shall hold the position of a Member Trustee until a successor has been confirmed pursuant to subclause (b)(viii) herein.
- (9) A Trustee shall give at least 30 days notice to the Secretary of his or her intention to resign the office of Trustee, or not seek or accept re-appointment.
- (10) On the resignation or removal of a Trustee, and prior to the appointment or election of a new Trustee, the remaining Trustees shall have the full power to act and carry out the duties and obligations of the Trust Agreement, and to exercise all Trustee powers either granted by the Trust Agreement or conferred by law.
- (11) Upon ceasing to be a Trustee, the Trustee in question shall thereupon be discharged and released of all claims, demands and obligations arising hereunder or under the Plan, save and except for any liability or obligation for any debt or loss as a consequence of a wrongful act or omission, or negligence, on the part of the Trustee.
- (12) Each new Trustee, before assuming any duties or being vested with any rights or powers of Trusteeship hereunder, shall by instrument in writing confirm and declare that the Trustee accepts the Trusteeship and all obligations of the Trust Agreement, as if the Trustee had been an original appointee hereunder. All insurance companies, agencies and institutions and all persons connected with the administration of the LTD Trust shall be, if necessary, immediately notified.

VII. MEETINGS AND PROCEDURES OF THE BOARD OF TRUSTEES

- (1) The first Trustees shall hold a meeting of the Board of Trustees and shall elect a Trustee as Chair. The Chair shall hold office for one year, and shall be eligible for re-election when the Board at an appropriate meeting elects a Chair for the ensuing year.
- (2) Meetings of the Board of Trustees shall be held at regular intervals, procedure for the summoning of meetings, provision of notice of meetings, and the conduct of meetings, being at the discretion of the Board of Trustees.
- (3) A quorum for the conducting of Trust business, for Trustee voting and

for any other matter associated with the Trust shall consist of

four Trustees, at least one of whom must be a Trustee holding an office in the University

- (4) The Trustees shall appoint a Secretary who shall keep minutes or records of all meetings, proceedings and acts of the Board of Trustees. Such minutes need not be verbatim, except for the decisions of the said Board.

VIII. DUTIES OF THE TRUSTEES

The Trustees shall:

- (1) Ensure at intervals to be agreed with the University that an actuarial valuation is made in order to determine for the ensuing interval the appropriate contribution rate that is to be applied in calculating the mandatory deduction to be made from the salary of each qualified employee.
- (2) The Trustees shall determine the contribution rate in light of the latest actuarial valuation or valuations, and inform the Board of Governors of the rate upon which they have decided for the ensuing interval.
- (3) Receive from the University all long term disability deductions from Qualified employee salaries, and pay the same into an account separate from all University accounts pending the expenditure or investment by the Trustees of those monies.
- (4) Put in place an administrative services only contract, not insured, with the benefit carrier to the effect that the said carrier will provide adjudication of all claims and make payment of Plan benefits to all qualified employees whose claims have been approved in the adjudication process.
- (5) Authorize and direct monthly payment to the benefit carrier from the Trust fund for the indemnification of the said carrier consequent upon the said carrier establishing to the satisfaction of the Trustees that it has provided benefits to all qualified employees during the previous month under the terms of the Plan.
- (6) Keep true and accurate accounts of all monies that they receive as Trustees, and of all transactions into which the Trustees enter, which money and transaction accounts are to be kept separate from all University accounts and monies, and during regular business hours made available for the inspection of any Trustee at any time.

- (7) Arrange for an audit of the Trust fund to be carried out at least annually by a qualified member in good standing of a recognized professional accounting association selected by the Trustees.
- (8) Obtain bonding of each Trustee by an authorized surety corporation at such sum as the Board of Governors from time to time determines, the cost of premiums for such bonds being paid from the Trust fund, and ensure that such bonding is also obtained for any person employed by the Trustees in the administration of the LTD Trust with access to the Trust fund.
- (9) Make an annual accounting to the Board of Governors, or as the said Board shall require, and within regular business hours following written application to the Trustees provide to qualified employees, or their professional association representatives, the right to inspect the current accounting once it has been provided to the Board of Governors, or the accounting of any past Trust year. The inspection is to be made at a place determined by the Trustees, and copies of any accounting are to be available only at the cost of the employee or representative requesting a copy or copies.
- (10) Register the Trust Agreement with the Canada Revenue Agency. From the Trust fund the Trustees shall make such payments of tax as are required of the Trustees under the terms of the *Income Tax Act*, R.S.C. 1985, c. 1 (5th Supp.), as amended, or otherwise, whether the tax be federal or levied under the law or regulations of British Columbia.
- (11) Establish rules for the administration of the business of the Trust, within the terms of the Trust and of the Plan, including the discharge of the Trustees' duties and the exercise of the Trustees' powers.

IX. POWERS OF THE TRUSTEES

The Trustees shall have the following powers:

- (1) To invest and re-invest the Trust fund monies remaining after the reimbursement of the benefit carrier, otherwise known as reserve monies, and payments authorized by sub-clause 3 of this clause IX, in such manner as a prudent investor would invest, and thereto in accordance with the *Trustee Act*, R.S.B.C. 1996, c. 464, as amended.

- (2) To retain such investment, legal, actuarial or other expertise or assistance as they consider necessary or appropriate in the performance of their duties.
- (3) To pay or provide for the payment of all reasonable and necessary expenses, costs and fees incurred by them in connection with the maintenance and administration of the Trust fund, and make such payment or provision from the Trust fund.
- (4) To maintain an adequate reserve for the payment of future reimbursement sums to the benefit carrier, and for future administration expenses reasonably anticipated as likely to be incurred.
- (5) To enter into any contract or agreement, or to make such rules and regulations, as they consider necessary or appropriate for the purpose of the administration of the LTD Trust, or the protection of the Trust fund.
- (6) To appoint or employ any person they consider necessary or appropriate for the discharge of any clerical or administrative function, such person or persons being subject to the direction and supervision of the Trustees.
- (7) To make such decisions and to carry out such acts as they consider appropriate for the administration of the LTD Trust and the discharge of its object as set out in clause III hereof, provided that any such decision or act is not contrary to or inconsistent with the provisions of the LTD Trust instrument or of the Plan.
- (8) Decisions of the Trustees, acting within their powers and not inconsistent with the provisions of the Trust Agreement and the Plan, shall be binding and conclusive.

X. EXECUTION OF INSTRUMENTS

All cheques, drafts, vouchers or other withdrawals of money from the Trust fund, and the payment or transfer of any money or security of the Trust fund, shall be executed or signed by such persons as the Trustees may by general or specific resolution decide, and failing a resolution shall be signed by the Chair and the Secretary.

XI. TRUSTEE LIABILITY

- (1) A Trustee shall not be personally liable for any act or omission in the discharge of the Trust duties, or the exercise of Trust powers,

unless the act or omission of the Trustee or Trustees charged with breach of trust is without authority of the Trust instrument, the Plan or the law, or is wrongful or negligent on the part of the Trustee or Trustees.

- (2) The costs and expenses, including counsel fees, of any legal action or proceeding brought by or against the Trustees or any one of them shall be paid from the Trust fund, unless it is adjudged in an action or proceeding that the Trustees or Trustee had acted wrongfully or negligently in the discharge of their duties or the exercise of their powers.
- (3) A retiring or removed Trustee or the estate of a deceased Trustee shall be indemnified by the Trust fund against all liability for the said Trustee's acts or omissions in the discharge of the Trustee's duties and the exercise of the Trustee's powers, unless it is later adjudged in court action or proceeding that loss or harm was caused to the Trust fund by the wrongful or negligent act of the said Trustee.

XII. THIRD PARTIES AND THE LTD TRUST

No person, partnership or association dealing with the Trustees shall be obligated to see to the application of any funds or assets of the LTD Trust, or to determine whether the Trustees have complied with the terms of the Trust Agreement, or to enquire into the necessity or appropriate character of any act of the Trustees.

XIII. AMENDMENT AND TERMINATION

- (1) With the written approval of the Board of Governors the Trustees may amend this Trust Agreement at any time and from time to time, provided that no amendment may be made to clause III (Purposes of the Trust) of the Trust Agreement, and no amendment shall require or authorize any asset or assets of the Trust fund to be transferred or otherwise made available to the University.
- (2) The Board of Governors, together with the affirmative vote of the majority of the Qualified employees who vote, upon thirty days notice first given by mail to each Qualified employee, may terminate the LTD Trust at any time in such manner as may have been set forth in the thirty days notice, and such termination shall take effect upon written notice of the resolution of the Board of Governors and the said affirmative vote being given by the Board of Trustees. Provided however that no such termination of the Trust Agreement shall result in any part of the assets of the Trust fund being paid to the University, or otherwise use or diverted, for purposes other than the exclusive benefit of Qualified employees.
- (3) The LTD Trust shall terminate, should the Board of Governors not earlier act under sub-clause 2 of this clause XIII, upon the anniversary of eighty (80) years from the date of this Trust

Agreement being executed.

- (4) Upon termination of this Trust Agreement, the Board of Governors, being satisfied that all matters relevant to a termination have been done, shall grant a release and discharge to the Trustees which shall be binding in favour of the Trustees upon all or any person or persons who have or may have any interest under the Trust Agreement.
- (5) Should the Plan, with BC LIFE or any other benefit carrier be discontinued by the University, the LTD Trust fund shall remain in being held by the Trustees for the benefit as determined by the Board of Governors of those qualified employees who on the date of discontinuance are continuing in the employ of the University and whose earned moneys have been paid into the Trust fund. In no circumstances is the Trust fund to become University property or be available in any manner to the University.

XIV. EFFECTIVE DATE AND COUNTERPARTS

This instrument, being the Trust Agreement, dated August 14, 2007, between the University and the Trustees,

- (1) shall have effect as of August 14, 2007; and
- (2) may be executed in one or more counterparts, each of which upon execution is to be deemed an original, and all such counterparts together with the true original shall constitute one and the same instrument.

IN WITNESS WHEREOF the University of Victoria has caused this instrument to be executed by its officers thereunto duly authorized and its seal to be hereunto affixed, and the Trustees have hereunto set their hands and seals, as of the day and year first above written.

THE COMMON SEAL of THE)
 UNIVERSITY OF VICTORIA was)
 Herefo affixed in t h e presence of:)
 _____)
 _____)
 _____)
 _____)
 _____)
 _____)
 _____)
 _____)
 _____)

c/s

TRUST AGREEMENT

THIS AGREEMENT is made the 14 day of ^{;/J,1&LI51} , 2007,

BETWEEN;

THE UNIVERSITY OF VICTORIA, a body corporate, pursuant to the Revised Statutes of British Columbia, 1996, chapter 468, as amended.

(hereinafter called "the University"),

OF THE FIRST PART

AND:

MURRAY GRIFFITH

PETER SANDERSON

MARY ELLEN PURKIS

(hereinafter called "the Trustees"),

OF THE SECOND PART

WHEREAS:

1. The University has entered into a Long Term Disability Plan ("the Plan") with the British Columbia Life & Casualty Company (BC LIFE) ("the benefit carrier"), being Group Insurance Policy Index 11040, whereby BC LIFE agrees to provide benefits to faculty and administrative and academic professional staff ("qualified employees"); and
2. Further to the Plan semi-monthly contributions are deducted by the University from the salaries of qualified employees; and
3. On the creation of a trust the contributions are to be held by trustees separate and distinct from any moneys belonging to or contributed by the University, and after exhaustion of present funds are to form the sole source from which the monthly payment is made with which to make good the benefit carrier for benefits provided by the said carrier to qualified employees; and
4. Actuarial valuation will continue to determine the contribution rate of employees hereunder qualifying, by means of which the University seeks to produce a fund in excess of experienced benefit payments so as to produce a reserve against future liabilities to the benefit carrier.

NOW THEREFORE THIS AGREEMENT WITNESSES that in consideration of the premises the parties hereto agree as follows:

I. NAME OF THE TRUST

This Trust Agreement is known as "the Long Term Disability Trust" (the "LTD Trust").

II. DEFINITIONS

The following words or terms shall be as defined hereunder unless the context clearly indicates otherwise.

- (1) "Adjudication" - means the assessment process approving or not approving benefit claims.
- (2) "Benefit carrier" - means the British Columbia Life & Casualty Company (BC LIFE), or any subsequent company providing claims adjudication and long term disability benefits to qualified employees.
- (3) "Board of Governors" - means the Board of Governors of the University of Victoria.
- (4) "Board of Trustees" - means all Trustees taken together of the LTD Trust.
- (5) "Chair" - means the chair person of the Board of Trustees.
- (6) "Contributions" - means moneys (i) that have been deducted by the University from the salary of each qualified employee, (ii) that as employee moneys have been remitted by the University to the Trustees, (iii) that are paid by the Trustees to a benefit carrier, (iv) that constitute in the carrier's hands reimbursement for benefit payments made by the carrier to those qualified employees who are approved claimants further to the terms of the Plan.

(6.1) "Faculty Association" - means the University of Victoria Faculty Association.

- (7) "LTD Trust" - means this Long Term Disability Trust

(7.1) "Management Excluded Employees" - means union excluded employees of the University covered by the Management Excluded Terms and Conditions of Employment.

- (8) "Plan" - means the Long Term Disability Plan contained in the British Columbia & Casualty Company (BC LIFE) Group Insurance Policy Index 11040.

(8.1) "Professional Employees Association" means the University of Victoria Chapter of the Professional Employees Association.

- (9) "Qualified employees" - means faculty, administrative and academic professional staff.
- (10) "Reserve" - means that part of the Trust fund that is not immediately required for reimbursement payments to the benefit carrier, and is available to meet future reimbursements of the benefit carrier.
- (11) "Resolution" - means a decision of the Board of Governors recorded in writing.
- (12) "Salary" - means the stipend or earnings of a qualified employee.
- (13) "Secretary" - means the recording officer to the Board of Trustees.
- (14) "Trust Agreement" - means this instrument creating the LTD Trust.
- (15) "Trust fund" - means the property forming at any time and from time to time the subject-matter of the LTD Trust.
- (16) "Trustee" or "Trustees" - means a Trustee or the Trustees of the LTD Trust.
- (17) "University" - means the University of Victoria.

444III. PURPOSES OF THE LTD TRUST

- (1) To hold as the Trust fund the contributions of qualified employees";
- (2) To make monthly payments from the Trust fund to the benefit carrier in reimbursement of its payments during the preceding month to qualified employees whose claims it has approved further to the terms of the Plan;
- (3) To build up a reserve of employee deductions in the Trust fund against future reimbursement liabilities to the benefit carrier; and to invest and re-invest the reserve component of the Trust fund.

IV. THE LTD TRUST BENEFICIARIES

Subject to the terms of the Trust, qualified employees for the time being, as the persons for whose exclusive benefit the LTD Trust is designed are the beneficiaries of the Trust.

V. FIRST TRUSTEES

The University has by resolution appointed the following three (3) Trustees:

1. MURRAY GRIFFITH - Executive Director, Financial Services
2. PETER SANDERSON - Associate Vice President, Human Resources
3. MARY ELLEN PURKIS - Dean, Human and Social Development

VI. APPOINTMENT, RESIGNATION, REMOVAL AND TERMS OF OFFICE OF TRUSTEES

(1) The Trustees shall consist of ~~three~~six persons:-

- (i) ~~A Trustee may three of whom shall be appointed by the Board of Governors ("University Trustees");~~
- (ii) ~~one of whom shall be appointed by the Board of Governors following nomination by the executive of the University of Victoria Faculty Association;~~
- (iii) ~~one of whom shall be appointed by the Board of Governors following nomination by the executive of the University of Victoria chapter of the Professional Employees Association; and~~
- (iv) ~~one of whom shall be elected by a vote of the Management Excluded Employees of the University.~~

(Trustees appointed by the Board of Governors following nomination by the executive of the Faculty Association or the executive of the Professional Employees Association, or elected by the Management Excluded Employees are called "Member Trustees").

(2) ~~University Trustees shall~~ be appointed or reappointed for a ~~term~~terms not exceeding four years unless ~~the Trustee is~~they are appointed ~~Trustee~~Trustees by virtue of the University office ~~that person holds~~they hold, in which case ~~that person~~they shall ~~remain a Trustee~~hold office as Trustees at the pleasure of the Board of Governors.

(3) ~~The Board of Governors shall at any time,~~ by instrument in writing addressed to ~~the particular University Trustee and to the Board of Trustees,~~ the particular University Trustee, have power to remove ~~any such University~~ any such University Trustee and appoint a new Trustee in such

Trustee's place and stead. Such new Trustee shall have all the powers, authorities and discretions, and may in all respects act, as if the Trustee had been originally appointed a Trustee hereunder.

Appointment of

~~(4)~~ Member Trustees shall ~~so be made~~appointed or elected (as the case may be) for periods of no more than four years from the first day of January, in such a manner that ordinarily the terms of no more than two Member Trustees expire each year. Provided that in each case the trusteeship of ~~no more than one Trustee terminates at one time.~~

~~(5)~~(4) ~~On the resignation or removal of a Trustee, and prior to an appointment of a new Trustee, the remaining Trustees shall have the full power to act and carry out the duties and obligations~~Member Trustees may be sooner terminated in accordance with sub-clause (5) of the Trust Agreement, and to exercise all Trustee powers either granted by the Trust Agreement or conferred by lawthis clause VI.

~~(6)~~(5) A Trustee shall cease to act and shall be divested of any and all powers hereunder in the following circumstances, and at the following dates:

- (i) ~~The~~the date the resignation of a Trustee is accepted in writing by the remaining Trustees;
- (ii) ~~The~~the date when the term of office of the Trustee expires, or ~~on~~on the date the Board of Governors by resolution terminates the trusteeship of a ~~Trustee who is or has been a University officer~~Trustee;
- (iii) ~~The~~the Trustee is in writing certified as being of unsound mind;
- (iv) ~~By reason if by unanimous vote of illness or other cause~~the remaining Trustees it is resolved that the Trustee ~~in the opinion of the Board of Governors is~~is a person unfit, or unable properly, to discharge the duties of trustee, ~~and the Board of Governors by resolution removes or that the Trustee; has or is likely to bring the Trustees, the LTD Trust or the University into disrepute; or~~
- (v) ~~The~~the Trustee fails to attend any meeting of the Board of Trustees during a period of three consecutive ~~months~~meetings, and the ~~Board of Governors~~remaining Trustees by resolution removes the Trustee.

~~(6)~~ Any vacancy occurring ~~in among~~ the ~~Board of University Trustees~~ shall be filled by the Board of Governors within 60 days of such vacancy occurring.

~~(7)~~ Any vacancy occurring among the Member Trustees shall be filled:

- ~~(i)~~ in the case of a Trustee nominated by the executive of the Faculty Association or by the executive of the Professional Employees Association, by nomination by the executive of the Faculty Association or the executive of the Professional Employees Association (as the case may be) and appointment of such nominee by the Board of Governors within 60 days of such vacancy occurring; and
- ~~(ii)~~ in the case of a Trustee elected by the Management Excluded Employees shall be filled at any special or regular election of the such Member Trustee.

- ~~(8)~~ (i) All Management Excluded Employees are eligible to vote for the election of the Member Trustee elected by Management Excluded Employees and the list of such Members eligible to vote shall be as certified by the Associate Vice-President Human Resources of the University whose decision shall be final.
- ~~(ii)~~ The following provisions shall apply in respect to the election of the Member Trustee elected by Management Excluded

Employees:

(a) The Secretary shall determine the date upon which an election shall be held and give due notice thereof;

(b) No person shall be eligible for election unless that person is an Management Excluded Employee and unless a nomination in writing proposed by two other Management Excluded Employees and accompanied by the written consent of the nominee, has been filed with the Secretary at least forty days before such election;

~~(g)~~(c) At least thirty days of such vacancy occurring, five days prior to an election the Secretary, in consultation with the Associate Vice-President Human Resources of the University, shall mail to each Management Excluded Employee eligible to vote a ballot paper containing thereon in alphabetical order the names of all persons duly nominated together with a plain envelope;

(d) Any Management Excluded Employee eligible to vote shall vote by placing the Management Excluded Employee's ballot paper, sealed in a plain envelope, and by delivering or posting the same to the Secretary in an envelope addressed to the Secretary, or by such other process approved by the Trustees;

(e) ~~The~~ ballots shall be counted by at least three members of the University Human Resources Department;

(f) The Trustees may prescribe such forms, rules and regulations for the conduct of such election as they deem necessary from time to time;

(g) All costs of holding any election as aforesaid shall be a charge against the LTD Trust; and

(h) The election of any Member Trustee shall be authenticated, confirmed and certified by the remaining Trustees. The Trustees may, but shall not be bound to, enquire into or adjudicate upon the propriety or procedure followed in any election. The Trustees may, in their discretion, refuse to confirm the appointment of a new Member Trustee whose election is in dispute, or who in the opinion of the remaining Trustees has been improperly elected, and until a new Member Trustee has been confirmed by the remaining Trustees he or she shall not be empowered to act as a Trustee.

(iii) Any vacancy occurring during a term of office of a Member Trustee elected by the Management Excluded Employees

shall be filled within sixty days from the date of such vacancy occurring by the appointment of a member of the Management Excluded Employees by the Trustees and such appointee shall hold the position of a Member Trustee until a successor has been confirmed pursuant to subclause (b)(viii) herein.

~~(8)~~(9) A Trustee shall give at least 30 days notice to the ~~Board of Governors~~ Secretary of his or her intention to resign the office of Trustee, or not seek or accept re-appointment.

(10) On the resignation or removal of a Trustee, and prior to the appointment or election of a new Trustee, the remaining Trustees shall have the full power to act and carry out the duties and obligations of the Trust Agreement, and to exercise all Trustee powers either granted by the Trust Agreement or conferred by law.

(11) Upon ceasing to be a Trustee, the Trustee in question shall thereupon be discharged and released of all claims, demands and obligations arising hereunder or under the Plan, save and except for any liability or obligation for any debt or loss as a consequence of a wrongful act or omission, or negligence, on the part of the Trustee.

(12) Each new Trustee, before assuming any duties or being vested with any rights or powers of Trusteeship hereunder, shall by instrument in writing confirm and declare that the Trustee accepts the Trusteeship and all obligations of the Trust Agreement, as if the Trustee had been an original appointee hereunder. All insurance companies, agencies and institutions and all persons connected with the administration of the LTD Trust shall be, if necessary, immediately notified.

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VII. MEETINGS AND PROCEDURES OF THE BOARD OF TRUSTEES

- (1) The first Trustees shall hold a meeting of the Board of Trustees and shall elect a Trustee as Chair. The Chair shall hold office for one year, and shall be eligible for re-election when the Board at an appropriate meeting elects a Chair for the ensuing year.
- (2) Meetings of the Board of Trustees shall be held at regular intervals, procedure for the summoning of meetings, provision of notice of meetings, and the conduct of meetings, being at the discretion of the Board of Trustees.
- (3) A quorum for the conducting of Trust business, for Trustee voting and for any other matter associated with the Trust shall consist of

~~two~~four Trustees, at least one of whom must be a Trustee holding an office in the University

- (4) The Trustees shall appoint a Secretary who shall keep minutes or records of all meetings, proceedings and acts of the Board of Trustees. Such minutes need not be verbatim, except for the decisions of the said Board.

VIII. DUTIES OF THE TRUSTEES

The Trustees shall:

- (1) Ensure at intervals to be agreed with the University that an actuarial valuation is made in order to determine for the ensuing interval the appropriate contribution rate that is to be applied in calculating the mandatory deduction to be made from the salary of each qualified employee.
- (2) The Trustees shall determine the contribution rate in light of the latest actuarial valuation or valuations, and inform the Board of Governors of the rate upon which they have decided for the ensuing interval.
- (3) Receive from the University all long term disability deductions from Qualified employee salaries, and pay the same into an account separate from all University accounts pending the expenditure or investment by the Trustees of those monies.
- (4) Put in place an administrative services only contract, not insured, with the benefit carrier to the effect that the said carrier will provide adjudication of all claims and make payment of Plan benefits to all qualified employees whose claims have been approved in the adjudication process.
- (5) Authorize and direct monthly payment to the benefit carrier from the Trust fund for the indemnification of the said carrier consequent upon the said carrier establishing to the satisfaction of the Trustees that it has provided benefits to all qualified employees during the previous month under the terms of the Plan.
- (6) Keep true and accurate accounts of all monies that they receive as Trustees, and of all transactions into which the Trustees enter, which money and transaction accounts are to be kept separate from all University accounts and monies, and during regular business hours made available for the inspection of any Trustee at any time.

- (7) Arrange for an audit of the Trust fund to be carried out at least annually by a qualified member in good standing of a recognized professional accounting association selected by the Trustees.
- (8) Obtain bonding of each Trustee by an authorized surety corporation at such sum as the Board of Governors from time to time determines, the cost of premiums for such bonds being paid from the Trust fund, and ensure that such bonding is also obtained for any person employed by the Trustees in the administration of the LTD Trust with access to the Trust fund.
- (9) Make an annual accounting to the Board of Governors, or as the said Board shall require, and within regular business hours following written application to the Trustees provide to qualified employees, or their professional association representatives, the right to inspect the current accounting once it has been provided to the Board of Governors, or the accounting of any past Trust year. The inspection is to be made at a place determined by the Trustees, and copies of any accounting are to be available only at the cost of the employee or representative requesting a copy or copies.
- (10) Register the Trust Agreement with the Canada Revenue Agency. From the Trust fund the Trustees shall make such payments of tax as are required of the Trustees under the terms of the *Income Tax Act*, R.S.C. 1985, c. 1 (5th Supp.), as amended, or otherwise, whether the tax be federal or levied under the law or regulations of British Columbia.
- (11) Establish rules for the administration of the business of the Trust, within the terms of the Trust and of the Plan, including the discharge of the Trustees' duties and the exercise of the Trustees' powers.

IX. POWERS OF THE TRUSTEES

The Trustees shall have the following powers:

- (1) To invest and re-invest the Trust fund monies remaining after the reimbursement of the benefit carrier, otherwise known as reserve monies, and payments authorized by sub-clause 3 of this clause ~~VIX~~, in such manner as a prudent investor would invest, and thereto in accordance with the *Trustee Act*, R.S.B.C. 1996, c. 464, as amended.

- (2) To retain such investment, legal, actuarial or other expertise or assistance as they consider necessary or appropriate in the performance of their duties.
- (3) To pay or provide for the payment of all reasonable and necessary expenses, costs and fees incurred by them in connection with the maintenance and administration of the Trust fund, and make such payment or provision from the Trust fund.
- (4) To maintain an adequate reserve for the payment of future reimbursement sums to the benefit carrier, and for future administration expenses reasonably anticipated as likely to be incurred.
- (5) To enter into any contract or agreement, or to make such rules and regulations, as they consider necessary or appropriate for the purpose of the administration of the LTD Trust, or the protection of the Trust fund.
- (6) To appoint or employ any person they consider necessary or appropriate for the discharge of any clerical or administrative function , such person or persons being subject to the direction and supervision of the Trustees.
- (7) To make such decisions and to carry out such acts as they consider appropriate for the administration of the LTD Trust and the discharge of its object as set out in clause 4(1) hereof, provided that any such decision or act is not contrary to or inconsistent with the provisions of the LTD Trust instrument or of the Plan.
- (8) Decisions of the Trustees, acting within their powers and not inconsistent with the provisions of the Trust Agreement and the Plan, shall be binding and conclusive.

X. EXECUTION OF INSTRUMENTS

All cheques, drafts, vouchers or other withdrawals of money from the Trust fund, and the payment or transfer of any money or security of the Trust fund, shall be executed or signed by such persons as the Trustees may by general or specific resolution decide, and failing a resolution shall be signed by the Chair and the Secretary.

XI. TRUSTEE LIABILITY

- (1) A Trustee shall not be personally liable for any act or omission in the discharge of the Trust duties, or the exercise of Trust powers,

unless the act or omission of the Trustee or Trustees charged with breach of trust is without authority of the Trust instrument, the Plan or the law, or is wrongful or negligent on the part of the Trustee or Trustees.

- (2) The costs and expenses, including counsel fees, of any legal action or proceeding brought by or against the Trustees or any one of them shall be paid from the Trust fund, unless it is adjudged in an action or proceeding that the Trustees or Trustee had acted wrongfully or negligently in the discharge of their duties or the exercise of their powers.
- (3) A retiring or removed Trustee or the estate of a deceased Trustee shall be indemnified by the Trust fund against all liability for the said Trustee's acts or omissions in the discharge of the Trustee's duties and the exercise of the Trustee's powers, unless it is later adjudged in court action or proceeding that loss or harm was caused to the Trust fund by the wrongful or negligent act of the said Trustee.

XII. THIRD PARTIES AND THE LTD TRUST

No person, partnership or association dealing with the Trustees shall be obligated to see to the application of any funds or assets of the LTD Trust, or to determine whether the Trustees have complied with the terms of the Trust Agreement, or to enquire into the necessity or appropriate character of any act of the Trustees.

XIII. AMENDMENT AND TERMINATION

- (1) With the written approval of the Board of Governors the Trustees may amend this Trust Agreement at any time and from time to time, provided that no amendment may be made to clause III (~~Object~~Purposes of the Trust) of the Trust Agreement, and no amendment shall require or authorize any asset or assets of the Trust fund to be transferred or otherwise made available to the University.
- (2) The Board of Governors, together with the affirmative vote of the majority of the Qualified employees who vote, upon thirty days notice first given by mail to each Qualified employee, may terminate the LTD Trust at any time in such manner as may have been set forth in the thirty days notice, and ~~the date such termination shall take effect upon written notice~~ of the resolution of the Board ~~to terminate is the termination date of the LTD Trust, unless of Governors and the said affirmative vote being given by~~ the Board of ~~Governors by resolution determines~~ Trustees. Provided however that termination shall occur on another and specified date no such termination of the Trust Agreement shall result in any part of the assets of the Trust fund being paid to the University, or otherwise use or diverted, for purposes other than the exclusive benefit of Qualified employees.
- (3) The LTD Trust shall terminate, should the Board of Governors not

earlier act under sub-clause 2 of this clause XIII, upon the anniversary of eighty (80) years from the date of this Trust ~~Agreement~~Agreement being executed.

- (4) Upon termination of this Trust Agreement, the Board of Governors, being satisfied that all matters relevant to a termination have been done, shall grant a release and discharge to the Trustees which shall be binding in favour of the Trustees upon all or any person or persons who have or may have any interest under the Trust Agreement.
- (5) Should the Plan, with BC LIFE or any other benefit carrier be discontinued by the University, the LTD Trust fund shall remain in being held by the Trustees for the benefit as determined by the Board of Governors of those qualified employees who on the date of discontinuance are continuing in the employ of the University and whose earned moneys have been paid into the Trust fund. In no circumstances is the Trust fund to become University property or be available in any manner to the University.

XIV. EFFECTIVE DATE AND COUNTERPARTS

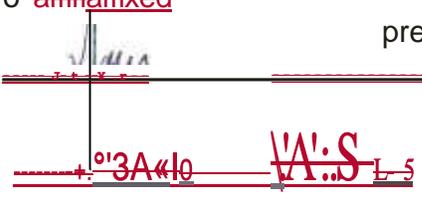
This instrument, being the Trust Agreement, dated ~~the August 14,~~ 2007, between the University and the Trustees,

~~day of July,~~

- (1) shall have effect as of ~~the~~ ~~day of~~ August 14, 2007; and
- (2) may be executed in one or more counterparts, each of which upon execution is to be deemed an original, and all such counterparts together with the true original shall constitute one and the same instrument.

IN WITNESS WHEREOF the University of Victoria has caused this instrument to be executed by its officers thereunto duly authorized and its seal to be hereunto affixed, and the Trustees have hereunto set their hands and seals, as of the day and year first above written.

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MARY ELLEN PURKIS



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 17, 2019

To: Operations and Facilities Committee

From: Prof. Jamie Cassels, President and Vice-Chancellor 

cc: Dr. Valerie Kuehne, Vice-President Academic and Provost
Dr. David Castle, Vice-President Research

Meeting Date: January 29, 2019

Subject: Establishment of the University of Victoria Impact Chairs and the University of Victoria President's Chairs

Basis for Jurisdiction: University Act 27 (2)(k) and 37 (1)(i)
Strategic Framework Priorities 1.1 and 2.4

Strategic Relevance: As per the University Act sections 27 (2)(k) and 37 (1)(i), approval is being sought for the establishment of a new Strategic Framework Chairs Program.

The creation of the Strategic Framework Chairs Program is a high-value and visible opportunity to recognize and promote excellence in support of the university's overarching vision. Funding of \$1.2 M annually has been allocated to the chairs program, representing a strategic investment to: attract and retain high-performing faculty; promote the articulation of the Strategic Framework priorities; and create and support champions of the

Framework, who will contribute through their research and research-inspired teaching. The Strategic Framework Chairs Program includes two types of internally funded chairs: University of Victoria Impact Chairs; and University of Victoria President's Chairs. A summary of the two chair types can be found in Attachment A, with detailed terms of reference following in Attachments B and C.

The rationale for creating this chairs program is directly related to the following priorities and strategies in the Strategic Framework 2018-2023:

Priority – Cultivate an Extraordinary Academic Environment

- Strategy 1.1 – *Attract, support and develop a diverse community of talented students, faculty and staff through enhanced resources and programs—including scholarships, academic chairs, professional support programs and workplace practices that recognize excellence and promote wellness.*

Priority – Advance Research Excellence and Impact

- Strategy 2.4 – *Provide resources and develop targeted initiatives to recruit and support a diverse and talented community of researchers, including graduate students and post-doctoral fellows.*

Previous Consultation:

- Executive Council – 16 October and 28 November 2018
- Deans' Council – 28 November 2018
- Senate – 11 January 2019

Recommendation: As per the University Act 37 (1)(i), Senate considered the Strategic Framework Chairs Program at its meeting on 11 January 2019 and passed a motion to recommend that the Board of Governors approve the establishment of the Impact Chairs and the President's Chairs.

That the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the establishment of the University of Victoria Impact Chairs and the University of Victoria President's Chairs.

Background: The University of Victoria Strategic Framework 2018-23 sets out a vision for UVic to become the Canadian research university that best integrates outstanding scholarship, engaged learning and real-life involvement to contribute to a better future for people and the planet. To achieve this vision, the Framework positions and inspires the UVic community to apply its commitment to excellence in research and creative activity, teaching, service and engagement to serve students, communities and the world.

This proposal provides for replacing the existing Distinguished Professor Award with the University of Victoria President's Chairs. Both awards are intended to recognize our most

outstanding faculty, however the Distinguished Professor Award, despite its label as the 'highest honour the university can bestow' has a comparatively modest profile and level of financial support. Replacing the Distinguished Professor Awards with President's Chairs will provide greater thematic focus and augmented resources to recognize and reward high-performing faculty at UVic. Funding associated with the existing Distinguished Professor Awards program will be incorporated into the funding for the new chairs program. The Provost, who administers the existing Distinguished Professors Program, is supportive of the changes proposed. Current faculty who hold the award and title of a Distinguished Professor have been contacted and will continue to hold the title for as long as they are regular faculty member in good standing at UVic.

The Strategic Framework Chairs program is one of a suite of Strategic Framework initiatives and investments already in place, or in late stages of development. Announced in [The Ring](#) on 14 January, the other initiatives include:

- i) **Experiential Learning Fund:** funding to support student mobility, engagement, work-integrated and other experiential learning opportunities that would otherwise not be available (SF priorities 3.1; 6.2)
- ii) **Graduate Student Support Funding** (SF priority 2.4)
- iii) **Fellowship in Research-Enriched Teaching:** funding and professional training for PhD and Post-Docs to provide research-enriched undergraduate learning (SF priorities 2.2; 2.4)
- iv) **Research Seed Funding:** to support research initiatives including projects, clusters, and platforms (SF priorities 2.1; 2.5)
- v) **Strategic Framework Initiatives Fund:** to support initiatives directly related to SF goals, especially those not covered by other funding initiatives (all SF priorities)

Planned Further Action: Once approved by the Board, work will commence on the process to fill the Impact Chairs, and to identify potential recipients for the President's Chairs. The Board will be notified from time to time when chair positions are filled.

Attachment(s):

Attachment A - Strategic Framework Chairs Program summary table

Attachment B - Terms of reference for the University of Victoria Impact Chairs

Attachment C - Terms of reference for the University of Victoria President's Chairs

ATTACHMENT A - Summary of the Strategic Framework Chairs Program

	Impact Chairs	President's Chairs
Intent	New positions intended to support recruitment of exceptional faculty with recognized success in research, research-inspired teaching and collaborative partnerships, and who will work to advance one or more of the four key priorities of the Strategic Framework	Awards to support the recognition and retention of exceptional existing UVic faculty who demonstrate excellence in teaching, research and service, and a track record and future potential for making substantial contribution to the university community and our partners.
Strategic Framework Priorities	<ul style="list-style-type: none"> • Intensify Dynamic Learning • Foster Respect and Reconciliation • Promote Sustainable Futures • Engage Locally and Globally 	Chairs will play a role in advancing elements of the Strategic Framework although rigid alignment is not required.
Eligibility	<ul style="list-style-type: none"> • External faculty candidates • Normally at the Associate or Full Professor level 	<ul style="list-style-type: none"> • Primarily targeted at existing early to mid-career UVic faculty • Normally at the Assistant or Associate Professor level
Selection Process	Two stage process: 1. Conceptual proposals prepared by Faculty(s) and submitted to President. Initial vetting by IRRC and advice to VPR/Provost. VPR/Provost advise President for final selection of chair positions 2. Open recruitment process	<ul style="list-style-type: none"> • Faculty nominations to VPR/Provost • VPR/Provost recommend to President for final selection
Accountabilities	<ul style="list-style-type: none"> • Promote excellence and leadership in the associated SF Priority area(s) • Annual report to Provost/VPR • Inaugural public lecture by each of the 4 chairs • Act as a champion for the university 	<ul style="list-style-type: none"> • Play a prominent role in promoting the Strategic Framework priorities • Act as a champion for the university • Available for annual meeting with President and/or Vice Presidents
Term & Renewal	One 5 year term, non-renewable	One 5 year term. Funding is non-renewable after the first 5 year term, though the title may be retained so long as the awardee continues to be a faculty member in good standing
Equity, Diversity and Inclusion	Follow best practices for appointment committee training, process, and documentation, with attention paid to considerations of equity, diversity and inclusion.	Follow best practices for process, and documentation, with attention paid to considerations of equity, diversity and inclusion.

**University of Victoria Impact Chairs
Terms of Reference**

Overview:

Four University of Victoria Impact Chairs are being established to promote research and teaching excellence and impact. The Impact Chairs are an important means through which exceptionally talented faculty will be able to articulate and embody key priorities as currently set out in the Strategic Framework, and to advance the University's pursuit of its overall vision. The Impact Chairs are intended to support the recruitment of new faculty to the university.

Each of the Impact Chairs will be focused on one of the four following Strategic Framework Priorities:

- Intensifying Dynamic Learning;
- Foster Respect and Reconciliation;
- Promote Sustainable Futures; and
- Engage Locally and Globally.

The program will maintain the flexibility to recognize and promote excellence in the Framework's other two priorities: Cultivate an Extraordinary Academic Environment, and Advance Research Excellence and Impact.

Each Impact Chair is for a five year term (non-renewable), and has an award of a salary stipend, potential for negotiated course release and operating funds, equivalent to a Canada Research Chair. The Impact Chair award is intended to augment the demonstrated excellence of the recipients' existing activities and to be co-extensive with and complementary to their other duties as a faculty member in good standing at UVic. Course release should not be assumed, but may be negotiated on a case by case basis, with a maximum of one course per year. To qualify for teaching release, additional activities that offset teaching must be shown to be necessary to meet the accountabilities of the Impact Chair funding.

The recipient of the Impact Chair award will be expected to play a prominent role in promoting the university's priorities (as currently set out in the Strategic Framework) and act as a champion for the University. The role of the faculty who hold an Impact Chair is to advance those priorities through demonstrated excellence in one or more areas of original research, innovation in teaching and pedagogy, and through impactful engagement with students, communities and partners.

Multi-faculty proposals reflecting collaborative partnerships are of particular interest, whether these reflect interdisciplinary work on-campus or inter-university, or collaborations with external partners and communities.

Selection Process:

- Deans will propose Impact Chairs in response to periodic calls from the Office of the President to fill Chair vacancies.
- Proposals (template to be provided) will need to indicate:
 - The intended impact against the Strategies described in the Strategic Framework Priority area, and related measures including equity, diversity and inclusion
 - How the Impact Chair will make contributions to the Strategic Framework Priority area through research, teaching or partnership engagement
 - The Impact Chair sustainability plan
- Successful proposals will lead to a competitive, external recruitment process and the selected candidate will demonstrably meet the goals of the chair proposal.
- Impact Chairs will be newly recruited faculty at the associate or full professor rank and must be leaders in their field of research, teaching or engagement.

Evaluation process:

- The President will review the initial proposals and forward them to the Institutional Research Review Committee to provide advice to the VPR and Provost.
- The VPR and Provost will make recommendation to the President for a final decision.
- The President will announce the successful proposals, and Impact Chair awardees, at meetings of Senate and the Board of Governors.

Expectations of the UVic Impact Chair holder:

- Inaugural open lecture to the UVic and broader community describing the research and other activities of the Impact Chairholder and how it promotes the priorities and strategies of the Strategic Framework.
- Annual report to Provost/VPR describing the contributions of the Impact Chairholder including:
 - implementation of the Strategic Framework vision and priorities;
 - advancement of specific strategies under the relevant Impact Chair holder Strategic Framework priority; and
 - championing for excellence in research, teaching and partnerships.



University of Victoria President's Chairs Terms of Reference

Overview:

Ten University of Victoria President's Chairs are being established to recognize and retain early to mid-career faculty who have achieved great distinction in research and research-inspired teaching, made a substantial contribution to the University of Victoria and wider communities, and are capable of championing excellence in research, teaching and engagement.

UVic President's Chairs are an important means through which exceptionally talented faculty are recognized and supported to advance the university's overall mission, vision and priorities (as currently articulated in the Strategic Framework). The President's Chairs are intended to promote research and teaching excellence, university and community engagement and impact. Ten President's Chairs will be awarded. Each President's Chair is for a five year term, and has a salary award and a research or operating stipend. The funding is non-renewable, though the title may be retained so long as the awardee continues to be a faculty member in good standing.

The President's Chair award is intended to augment and amplify the excellence and impact of the recipients' existing activities and to be co-extensive with and complementary to their other duties as a faculty member at UVic. Course release should not be assumed, but may be negotiated on a case by case basis, with a maximum of one course per year funded from the Chair's funds. To qualify for teaching release, additional activities that offset teaching must be shown to be necessary to meet the accountabilities of the President's Chair funding.

The title 'President's Chair' will be bestowed upon those existing early to mid-career UVic faculty who demonstrate excellence in their discipline, and a track record and future potential for making substantial contributions to the University community and our partners, advancing the university's priorities and acting as a champion for the university.

Nominees engaged in collaborative partnerships are of particular interest, whether these reflect interdisciplinary work on-campus or inter-university, or collaborations with external partners and communities.

The timing of nominations for President's Chairs will be at the discretion of the Provost and the VPR, based on emerging opportunities to recognize exceptional faculty and to ensure their retention at UVic.

Selection Process:

- Nominees must be exceptional existing faculty normally at the Assistant or Associate Professor rank.
- Nominees must be leaders in their field of research, teaching or university or

community engagement.

- Deans will nominate faculty members to the Offices of the Vice-President Academic & Provost and Vice-President Research as suitable candidates arise. Nominations will include:
 - Candidate CV and nomination letter describing the proposed contributions the candidate offers in relation to university priorities;
 - Workplan for how the President's Chair contributions to the priority area will be achieved through research, teaching or engagement; and
 - Statement of intended impact against university priorities and strategies, and related measures including equity, diversity and inclusion.

Evaluation process:

- The VPR and Provost will receive and consider President's Chair nominations.
- The VPR and Provost will make recommendation to the President for a final decision.
- The President will announce the award recipient(s) at meetings of Senate and the Board of Governors.

Expectations of the President's Chair holder:

- Annual report to Provost and VPR describing the contributions of the President's Chair holder, including to:
 - implementation of Strategic Framework Vision and Priorities;
 - advancement of specific strategies under the relevant President's Chair holder priorities; and
 - championing excellence in research, teaching and partnerships.





University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: Prof. Jamie Cassels, President and Vice-Chancellor 

cc: Dr. Valerie Kuehne, Vice-President Academic and Provost

Meeting Date: January 29, 2019

Subject: Revised policy GV0350 Procedures for the Appointment and Re-appointment of the Vice-Provost and Academic Associate Vice-Presidents

Basis for Jurisdiction: University Act 27 (2) (f)
GV0350 Procedures for the Appointment and Re-appointment of the Vice-Provost and Academic Associate Vice-Presidents
Strategic Framework Priority

Strategic Relevance: The purpose of this memo is to seek approval of a minor amendment to policy GV0350 (Procedures for the Appointment and Reappointment of Academic Associate Vice-Presidents). The amendment expands the policy to include the new position of Vice-Provost that was recently established. The role of the Vice-Provost will boost capacity in the Provost's office to focus on implementation of the priorities in the Strategic Framework, in particular in areas of dynamic learning, local and global engagement, our extraordinary academic environment and working with the Vice-President Research to advance research excellence and impact.

The hiring of a Vice-Provost also relates directly to the priority to “Cultivate an Extraordinary Academic Environment”:

- Strategy 1.1 – *Attract, support and develop a diverse community of talented students, faculty and staff through enhanced resources and programs—including scholarships, academic chairs, professional support programs and workplace practices that recognize excellence and promote wellness.*

Previous Consultation:

Executive Council – 20 November 2018

Deans’ Council – 28 November 2018

Senate – 11 January 2019

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the revised policy GV0350 Procedures for the Appointment and Re-appointment of the Vice-Provost and Academic Associate Vice-Presidents, effective 1 February 2019.

Rationale: The University Act Section 27 (2) (f) states that the Board of Governors has the authority, with the approval of the Senate, to establish procedures for the recommendation and selection of candidates for president, deans, librarians, registrar and other senior academic administrators as the board may designate. At its meeting on 11 January 2019, Senate passed a motion that the revised procedures be presented to the Board for final approval.

The rationale for revising the existing policy *GV0350 Procedures for the Appointment and Re-appointment of Academic Associate Vice-Presidents* to include the newly established position of Vice-Provost, is that the Vice-Provost position, while slightly more senior than an AVP, is similar to an Academic Associate Vice-President position in terms of eligibility and role. It was determined that revising the existing procedures instead of creating new procedures allowed for consistency and fairness across similar senior academic leadership positions, without creating added complexity to the university’s system of appointment procedures.

No major revisions to the procedures are being proposed, aside from the revisions to make the procedures applicable to the new position of Vice-Provost. There are no changes to the appointment or re-appointment process, or the role or membership of the appointment committee. The opportunity was taken to make some additional editorial changes including removing mention of the now defunct position of Associate Vice-President International, and the inclusion of the new equity statement.

Background: In July and August of 2018 a consultant undertook, at my request, a high-level review of the portfolios and offices of the Vice-President Academic and Provost (VPAC), and the Vice-

President Research (VPRE). The purpose of the review was to determine whether both portfolios have the optimum organizational structures and resourcing in place to maximize success of the leaders in these critical roles, and to ultimately meet the strategic goals of the institution.

The consultant carried out interviews with a number of leaders on campus. She also reviewed institutional websites, collected and analyzed data and conducted discrete interviews with senior leadership from seven of our comparator universities in Canada.

Through the consultant's research and conversations, she found that the scope of the Provost's role is too big, and the size and depth of the responsibilities are not sustainable. Significant contributing factors include the growth in size and complexity of the university, and the demands on the President's role to become more externally facing with the community, alumni, donors and government. This effectively requires that the Provost have greater senior internal facing responsibility. The consultant also found that while the VPAC offices at other institutions are structured comparably to UVic and most institutions have a comparable number of direct reports to the Provost, 5 of 7 of the other universities have a Vice-Provost, or equivalent, to provide senior support to the Provost and assist with leading strategic academic initiatives at the university. The consultant's central recommendation was that UVic should create a new academic leadership position, a Vice-Provost, for similar purposes, and I have implemented this recommendation by establishing the new role.

By way of historical context, the addition of a new academic leadership position centrally has been a rare occurrence at UVic over the past 15-20 years. Indeed, while there has been substantial growth in student numbers and faculty, new schools, departments and programs, there has been almost no growth in leadership capacity in the office of the Provost during that period (an Associate Vice-President for student affairs was added in 2003 when the Division of Student Affairs was reorganized from the VPFO to VPAC).

The hiring of a Vice-Provost will allow the Provost to focus on her responsibilities including delivery of the new Strategic Framework, the vast majority of which falls within her portfolio. This will also allow the Provost to spend more time with the Deans, University Librarian and other academic leaders, focusing on strategic matters. The new Vice-Provost role will include: working under broad direction to initiate and advance the UVic Strategic Framework and academic priorities, fostering strong and mutually reinforcing relationships across the university, particularly with the Vice-President Research portfolio; taking leadership on key campus projects and initiatives; and both chairing and participating on various university committees.

The review of the VPRE portfolio found that, while overall the portfolio is appropriately structured and resourced, some additional resources may be needed to enhance academically-oriented strategic research planning and coordination. Consideration is being given to how best to meet that need.

Planned Further Action: Once approved by the Board, the revised policy will be posted on the university's policy webpage. The Provost will commence the search for Vice-Provost in the spring of 2019.

Attachment(s):

Attachment A – clean version of revised policy

Attachment B – tracked changes version of revised policy

**Procedures for the
Appointment and Re-
appointment of the Vice-
Provost and Academic
Associate Vice-Presidents**

University Policy No: GV0350

Classification: Governance

Approving Authority: Board on recommendation
of Senate

Effective Date: January 2019

Supersedes: GV0330, GV0340, GV0405

Last Editorial Change:

Mandated Review:

January, 2026

PURPOSE

- 1.00 The following procedures define the method by which the appointment, or review and re-appointment, of the Vice-Provost and Academic Associate Vice-Presidents will be conducted.

SCOPE

- 2.00 These procedures apply to the appointment and reappointment of the Vice-Provost and Academic Associate Vice-Presidents. Vice-Provost and Academic Associate Vice-President positions are ones which require an academic appointment and academic leadership experience. Academic Associate Vice-Presidents include the Associate Vice-President Academic Planning and the Associate Vice-President Research.
- 2.01 These procedures also apply to the appointment of an acting Vice-Provost and acting Academic Associate Vice-Presidents.

PROCEDURES

Delegation of Appointment Authority

- 3.00 In accordance with sections 27(2) (f) and (g) of the *University Act*, the Board of Governors shall with the approval of Senate establish procedures for the recommendation and selection of senior academic administrators and shall subsequently appoint these administrators.
- 3.01 The Board of Governors has delegated its authority to make appointments to the President or the appropriate Vice-President. For the purpose of this procedure, the President is responsible for approving appointments of the Vice-Provost and Academic Associate Vice-Presidents in accordance with section 31.00 of these procedures.
- Term of Appointment
- 4.00 The Vice-Provost and Academic Associate Vice-Presidents will normally be appointed for five-year terms with a maximum of two terms.
- 4.01 The President may elect to approve a recommendation from the pertinent Vice-President to appoint a Vice-Provost or an Academic Associate Vice-President for a term less than five years.

Notification of Vacancy

- 5.00 A reasonable time prior to the end of the incumbent's term, the President will notify Senate and the Board of Governors of the impending vacancy.
- 5.01 When the appointment of an acting Vice-Provost or acting Associate Vice-President is necessary, the pertinent Vice-President shall undertake necessary consultations and make a recommendation for appointment to the President who will appoint an acting Vice-Provost or acting Associate Vice-President to serve until the new appointee takes office.

Position Description

- 6.00 The pertinent Vice-President(s) will review the position description for the Vice-Provost or Academic Associate Vice-President position and recommend any changes to the President for approval.

Appointment Committee Establishment and Governance

- 7.00 A reasonable time before the position needs to be filled or prior to the end of the incumbent's term, the pertinent Vice-President will ask the University Secretary to convene the Appointment Committee (hereinafter referred to as "the Committee") in accordance with these procedures.

Committee Composition

- 8.00 The university is committed to equity and diversity. When electing members of the Committee, constituencies should encourage diverse representatives from their membership to stand for election including: women, Indigenous peoples, individuals with disabilities, visible minorities, people of all sexual orientations and gender identities and expressions, and others who may contribute to the diversification of the Committee.
- 9.00 The Committee compositions for the Vice-Provost and Academic Associate Vice- Presidents shall be established in accordance with Appendix 'A'.
- 9.01 The Committee Chair shall be the Vice-President to whom the Vice-Provost or Associate Vice-President reports. In a case where an Associate Vice-President reports to more than one Vice-President, the pertinent Vice-Presidents shall jointly determine who will Chair the Committee or co-chair the Committee.
- 9.02 The Committee Chair shall appoint an administrative staff member from their office to serve as Committee secretary.

Alternate Committee Members

- 10.00 Where possible, alternates will be identified who may be asked to serve when a member needs to resign from the Committee before it begins to formally interview candidates. Alternates cannot be added after this point as each Committee member must be in a position to weigh the merits of each candidate prior to making a recommendation.

- 10.01 In the event that an alternate is required and no alternate was determined at the time the Committee was constituted, an alternate will be appointed by the remaining members of the Committee after appropriate consultation.

General Committee Responsibilities

- 11.00 Committee members are expected to attend the Committee's meetings and must participate in interviews. A Committee member who is not able to meet these expectations shall resign from the Committee and an alternate may be appointed in accordance with section 10.00.

Establishment of Position Criteria

- 12.00 The Committee shall acquaint itself thoroughly with the requirements of the position through meetings with the incumbent and others as required, and shall establish criteria by which to evaluate candidates.

Communication with Candidates

- 13.00 The Committee is responsible for ensuring all candidates are made aware of, and provided with a copy of these procedures.

Employment Equity

- 14.00 Throughout the appointment process, the Committee should acquaint itself with human rights requirements, university equity and diversity policies, include equity considerations when developing criteria for the position, and take steps to widen the pool of qualified applicants to include designated equity group members and others who may contribute to the further diversification of the university. Position advertisements shall include the current employment equity statement.

- 14.01 The Committee should familiarize itself with best practices for conducting fair and equitable search and selection processes.

Confidentiality, Protection of Privacy and Records Management

- 15.00 The personal information of the incumbent and of candidates shall be managed and protected in accordance with the *Freedom of Information and Protection of Privacy Act*, and the university's Protection of Privacy (GV0235) and Records Management (IM7700) policies and associated procedures.

- 15.01 Documentation containing personal information received by the Committee is confidential and shall be used or disclosed only for the purpose for which the information was collected or a purpose consistent with the original collection purpose. All other uses or disclosures of such information require the consent of the incumbent or candidate.

- 16.00 Deliberations of the Committee are confidential. The Committee shall keep a confidential summary record of its meetings detailing its decisions and actions. Deliberations of the Committee concerning the incumbent or candidates shall not be recorded in the summary record.

16.01 Only the Chair (or designate) may speak on behalf of the Committee.

16.02 A member of the Committee who has breached confidentiality shall be subject to sanction by the Chair, potentially including dismissal from the Committee and forfeiture of constituency representation. Members of the Committee should respond to general questions on the Committee's progress by referencing procedural decisions of the Committee as recorded in the confidential summary record. At no point is it appropriate to reference opinions or comments expressed at meetings of the Committee.

17.00 Committee records shall be managed in accordance with the university's Protection of Privacy (GV0235) and Records Management (IM7700) policies and associated procedures.

Consultation with Constituencies

18.00 Committee members are responsible for exercising their best judgment in the interests of the appointment process and are expected to seek information from their constituencies and keep constituencies apprised of the non-confidential aspects of the appointment process.

18.01 The Chair will guide Committee members with respect to consultations with their constituencies.

Review and Re-Appointment of the Incumbent

19.00 If the incumbent elects to stand for a consecutive term after reviewing the criteria established by the Committee under section 12.00, the Committee shall determine through the steps contained in 19.01 – 19.02 whether or not to recommend the incumbent's reappointment.

19.01 The past performance of the incumbent shall be assessed in the context of the university's and the pertinent office's future directions and strategic plans. Material to be examined by the Committee shall include but is not limited to:

- a current curriculum vitae;
- the criteria established by the Committee under section 12.00;
- the criteria and objectives established for the position at the time of initial appointment;
- a summary of the evaluations carried out by the Vice-President(s) to whom the incumbent reports; and
- the results of consultations with constituency groups.

19.02 The incumbent shall be invited by the Committee to provide a written self-assessment which includes a statement of past and projected leadership in the context of the criteria established for continuation in the position.

20.00 The incumbent must be advised of: the measures to be used under section 19.00 for assessment; the individuals and constituencies the Committee plans to consult; and the schedule for each stage of the review process.

21.00 A review should normally not take longer than eight weeks. During the period of assessment, the Committee must take steps to ensure that the ability of the incumbent to discharge the duties and responsibilities of the position is not undermined by the process.

Voting

22.00 The Committee shall reach a decision on its recommendation to the President to re-appoint an incumbent through a simple majority vote.

22.01 If after completing the review process the Committee recommends the incumbent for a further term, the Committee shall proceed with the actions set out in sections 29.00 – 32.00 of these procedures.

22.02 If after completing the review process the Committee does not recommend the incumbent for a further term, the Committee shall proceed to the search procedures.

Search Procedures

23.00 Where the incumbent does not wish to be considered for a consecutive term, has served the term limit, or if after completing the review, the Committee does not recommend the incumbent for reappointment, the Committee shall invite members of the university community to suggest possible candidates and shall advertise the position.

23.01 The Chair may elect to engage a search consultant in cases where the position is open to external candidates.

Candidate Selection

24.00 The Committee shall gather relevant information about the candidates and shall then select a short list of candidates.

25.00 The Committee shall determine how best to seek feedback from and acquaint candidates on the final shortlist with: academic leadership, students, faculty, and staff within the pertinent Vice-President's office.

26.00 Candidates shall be advised of the measures to be used for assessment, the individuals and constituency groups the Committee intends to consult and the ratification requirements contained under sections 29.00 and 32.00.

Academic Appointment Process

27.00 In the case of an external candidate, the Chair shall consult the appropriate academic unit through its dean, chair or director before making the proposed academic appointment.

Voting

28.00 The Committee shall reach a decision on a recommended candidate through a simple majority vote.

Ratification

29.00 The Committee will determine by secret ballot, administered through the Office of the University Secretary, the acceptability of its recommended candidate to the regular faculty members of each faculty and the Division of Medical Sciences. Prior to the ballot, the Committee shall make available a copy of the candidate's curriculum vitae to each unit.

29.01 To be ratified, the candidate must have a minimum approval rate of 60% of votes cast.

30.00 In the event of an unsuccessful ratification ballot, the Committee shall meet to determine an alternate course of action.

Recommendation for Appointment

31.00 If the Committee's nominated candidate is ratified, the Chair will recommend the candidate to the President for appointment.

31.01 The recommendation shall be in the form of a report and include recommendations for action and a rationale for the Committee's decision.

Publication of Ratification Results

32.00 If the President offers the appointment to the candidate and the candidate accepts, the results of the ratification ballot shall be published.

Debriefing

33.00 After the President has approved the appointment and the candidate has accepted the nomination, the pertinent Vice-President(s) may meet with the newly appointed Vice-Provost or Associate Vice-President as required to discuss any issues arising from the appointment process as they relate to the mandate for the upcoming term.

AUTHORITIES AND OFFICERS

- i. Approving Authority: Board on recommendation of Senate
- ii. Designated Executive Officers: President
- iii. Procedural Authority: Senate and Board of Governors
- iv. Procedural Officers: Vice-President Academic and Provost; Vice-President Research

RELEVANT LEGISLATION

University Act

Freedom of Information and Protection of Privacy Act

RELATED POLICIES AND DOCUMENTS

Appointment of Non-Academic Associate Vice-Presidents (GV0345)

Appendix 'A' – Vice-Provost and Academic Associate Vice-President Appointment Committee Framework

Procedural Authority: Senate and Board of Governors **Effective Date:** January, 2011
Procedural Officers: Vice-President Academic and Provost; Vice-President Research **Supersedes:**
Last Editorial Change:

PURPOSE

- 1.00 The purpose of this document is to set out the framework for the establishment of Appointment Committees for the appointment or reappointment of a Vice-Provost or an Academic Associate Vice-President.

PROCEDURES

- 2.00 Vice-Provost and Academic Associate Vice-President Appointment Committees shall be constituted in accordance with the parameters contained in the following chart.

Position	Number	Composition and Appointment Method
Chair	(1-2)	Vice-President Academic and Provost and/or the Vice-President Research ⁱ (Ex Officio)
Committee Members	(4)	A regular faculty member elected by and from each of the following faculty groupings: <ul style="list-style-type: none"> • Fine Arts and Humanities; • Law, Business and Education; • Science, Engineering and the Division of Medical Sciences; and • Social Sciences and Human and Social Development
	(1)	Dean elected by Deans' Council
	(1)	Undergraduate student selected by the University of Victoria Students' Society
	(1)	Graduate student selected by the Graduate Students' Society
	(1)	Faculty member appointed by the President after elections are complete with a view to considerations such as diversity and balance
	(Up to 2)	Senior administrators or staff members appointed by the President in consultation with the Vice-President(s)
Total	9 - 12	
Secretary	-	An administrative staff member from the Vice-President Academic and Provost's or the Vice-President Research's office as appropriate (non-voting)

ⁱ For the Vice-Provost – normally the Vice-President Academic and Provost
For the Associate Vice-President Academic Planning – normally the Vice-President Academic and Provost
For the Associate Vice-President Research – normally the Vice-President Research



**PROCEDURES FOR
THE APPOINTMENT
AND RE-APPOINTMENT
OF ACADEMIC
ASSOCIATE
VICE-PRESIDENTS**
Procedures
for the Appointment and Re-
appointment of the Vice-
Provost and Academic
Associate Vice-Presidents

University Policy No: GV0350

Classification: Governance

Approving Authority: Board on recommendation of Senate

Effective Date: ~~February, 2014~~ January 2019

Supersedes: GV0330, GV0340, GV0405

Last Editorial Change:

Mandated Review: ~~February, 2018~~ January, 2026

PURPOSE

- 1.00 The following procedures define the method by which the appointment, or review and re-appointment, of the Vice-Provost and Academic Associate Vice-Presidents will be conducted.

SCOPE

- 2.00 These procedures apply to the appointment and reappointment of the Vice-Provost and Academic Associate Vice-Presidents. Vice-Provost and Academic Associate Vice-Presidential positions ~~is~~ are ~~one~~ s which requires an academic appointment and academic leadership experience. These Academic Associate Vice-Presidents include the Associate Vice-President Academic Planning and, the Associate Vice-President Research and the Associate Vice-President International.
- 2.01 These procedures also apply to the appointment of an acting Vice-Provost and acting Academic Associate Vice-Presidents.

PROCEDURES

Delegation of Appointment Authority

- 3.00 In accordance with sections 27(2) (f) and (g) of the *University Act*, the Board of Governors shall with the approval of Senate establish procedures for the recommendation and selection of senior academic administrators and shall subsequently appoint these administrators.
- 3.01 The Board of Governors has delegated its authority to make appointments to the President or the appropriate Vice-President. For the purpose of this procedure, the President is responsible for approving appointments of the Vice-Provost and Academic Associate Vice-Presidents in accordance with section 31.00 of these procedures.

Term of Appointment

- 4.00 The Vice-Provost and Academic Associate Vice-Presidents will normally be appointed for five-year terms with a maximum of two terms.
- 4.01 The President may elect to approve a recommendation from the pertinent Vice-President to appoint a Vice-Provost or an ~~a~~ Academic Associate Vice-President for a term less than five years. Notification of Vacancy
- 5.00 A reasonable time prior to the end of the incumbent's term, the President will notify Senate and the Board of Governors of the impending vacancy.
- 5.01 When the appointment of an acting Vice-Provost or acting Associate Vice-President is necessary, the pertinent Vice-President shall undertake necessary consultations and make a recommendation for appointment to the President who will appoint an acting Vice-Provost or acting Associate Vice-President to serve until the new appointee takes office.

Position Description

- 6.00 The pertinent Vice-President(s) will review the position description for the Vice-Provost or Academic Associate Vice-President position and recommend any changes to the President for approval.

Appointment Committee Establishment and Governance

- 7.00 A reasonable time before the position needs to be filled or prior to the end of the incumbent's term, the pertinent Vice-President will ask the University Secretary to convene the Appointment Committee (hereinafter referred to as "the Committee") in accordance with these procedures.

Committee Composition

- 8.00 The university is committed to equity and diversity. When electing members of the Committee, constituencies should encourage diverse representatives from their membership to stand for election including: women, Indigenous peoples, individuals with disabilities, visible minorities, people of all sexual orientations and gender identities and expressions, and others who may contribute to the diversification of the Committee.
- 9.00 The Committee compositions for the Vice-Provost and Academic Associate Vice- Presidents shall be established in accordance with Appendix 'A'.
- 9.01 The Committee Chair shall be the Vice-President to whom the Vice-Provost or Associate Vice-President reports. In a case where an Associate Vice-President reports to more than one Vice-President, the pertinent Vice-Presidents shall jointly determine who will Chair the Committee or co-chair the Committee.
- 9.02 The Committee Chair shall appoint an administrative staff member from ~~his or her~~their office to serve as Committee secretary.

Alternate Committee Members

10.00 Where possible, alternates will be identified who may be asked to serve when a member needs to resign from the Committee before it begins to formally interview candidates. Alternates cannot be added after this point as each Committee member must be in a position to weigh the merits of each candidate prior to making a recommendation.

10.01 In the event that an alternate is required and no alternate was determined at the time the Committee was constituted, an alternate will be appointed by the remaining members of the Committee after appropriate consultation.

General Committee Responsibilities

11.00 Committee members are expected to attend the Committee's meetings and must participate in interviews. A Committee member who is not able to meet these expectations shall resign from the Committee and an alternate may be appointed in accordance with section 10.00.

Establishment of Position Criteria

12.00 The Committee shall acquaint itself thoroughly with the requirements of the position through meetings with the incumbent and others as required, and shall establish criteria by which to evaluate candidates.

Communication with Candidates

13.00 The Committee is responsible for ensuring all candidates are made aware of, and provided with a copy of these procedures.

Employment Equity

14.00 Throughout the appointment process, the Committee should acquaint itself with human rights requirements, university equity and diversity policies, include equity considerations when developing criteria for the position, and take steps to widen the pool of qualified applicants to include designated equity group members and others who may contribute to the further diversification of the university. Position advertisements shall include the current employment equity statement.

14.01 The Committee should familiarize itself with best practices for conducting fair and equitable search and selection processes.

Confidentiality, Protection of Privacy and Records Management

15.00 The personal information of the incumbent and of candidates shall be managed and protected in accordance with the *Freedom of Information and Protection of Privacy Act*, and the university's Protection of Privacy (GV0235) and Records Management (IM7700) policies and associated procedures.

15.01 Documentation containing personal information received by the Committee is confidential and shall be used or disclosed only for the purpose for which the information was collected or a purpose consistent with the original collection purpose. All other uses or disclosures of such information require the consent of the incumbent or candidate.

16.00 Deliberations of the Committee are confidential. The Committee shall keep a confidential

summary record of its meetings detailing its decisions and actions. Deliberations of the Committee concerning the incumbent or candidates shall not be recorded in the summary record.

16.01 Only the Chair (or designate) may speak on behalf of the Committee.

16.02 A member of the Committee who has breached confidentiality shall be subject to sanction by the Chair, potentially including dismissal from the Committee and forfeiture of constituency representation. Members of the Committee should respond to general questions on the Committee's progress by referencing procedural decisions of the Committee as recorded in the confidential summary record. At no point is it appropriate to reference opinions or comments expressed at meetings of the Committee.

17.00 Committee records shall be managed in accordance with the university's Protection of Privacy (GV0235) and Records Management (IM7700) policies and associated procedures.

Consultation with Constituencies

18.00 Committee members are responsible for exercising their best judgment in the interests of the appointment process and are expected to seek information from their constituencies and keep constituencies apprised of the non-confidential aspects of the appointment process.

18.01 The Chair will guide Committee members with respect to consultations with their constituencies.

Review and Re-Appointment of the Incumbent

19.00 If the incumbent elects to stand for a consecutive term after reviewing the criteria established by the Committee under section 12.00, the Committee shall determine through the steps contained in 19.01 – 19.02 whether or not to recommend the incumbent's reappointment.

19.01 The past performance of the incumbent shall be assessed in the context of the university's and the pertinent office's future directions and strategic plans.

Material to be examined by the Committee shall include but is not limited to:

- a current curriculum vitae;
- the criteria established by the Committee under section 12.00;
- the criteria and objectives established for the position at the time of initial appointment;
- a summary of the evaluations carried out by the Vice-President(s) to whom the ~~Associate Vice-President~~incumbent reports; and
- the results of consultations with constituency groups.

19.02 The incumbent shall be invited by the Committee to provide a written self-assessment which includes a statement of past and projected leadership in the context of the criteria established for continuation in the position.

20.00 The incumbent must be advised of: the measures to be used under section 19.00 for assessment; the individuals and constituencies the Committee plans to consult; and the schedule for each stage of the review process.

21.00 A review should normally not take longer than eight weeks. During the period of assessment, the Committee must take steps to ensure that the ability of the incumbent to discharge the duties and responsibilities of the position is not undermined by the process.

Voting

22.00 The Committee shall reach a decision on its recommendation to the President to re-appoint an incumbent through a simple majority vote.

22.01 If after completing the review process the Committee recommends the incumbent for a further term, the Committee shall proceed with the actions set out in sections 29.00 – 32.00 of these procedures.

22.02 If after completing the review process the Committee does not recommend the incumbent for a further term, the Committee shall proceed to the search procedures.

Search Procedures

23.00 Where the incumbent does not wish to be considered for a consecutive term, has served the term limit, or if after completing the review, the Committee does not recommend the incumbent for reappointment, the Committee shall invite members of the university community to suggest possible candidates and shall advertise the position.

23.01 The Chair may elect to engage a search consultant in cases where the position is open to external candidates.

Candidate Selection

24.00 The Committee shall gather relevant information about the candidates and shall then select a short list of candidates.

25.00 The Committee shall determine how best to seek feedback from and acquaint candidates on the final shortlist with: academic leadership, students, faculty, and staff within the pertinent Vice-President's office.

26.00 Candidates shall be advised of the measures to be used for assessment, the individuals and constituency groups the Committee intends to consult and the ratification requirements contained under sections 29.00 and 32.00.

Academic Appointment Process

27.00 In the case of an external candidate, the Chair shall consult the appropriate academic unit through its dean, chair or director before making the proposed academic appointment.

Voting

28.00 The Committee shall reach a decision on a recommended candidate through a simple majority vote.

Ratification

29.00 The Committee will determine by secret ballot, administered through the Office of the University Secretary, the acceptability of its recommended candidate to the regular faculty members of each faculty and the Division of Medical Sciences. Prior to the ballot, the Committee shall make available a copy of the candidate's curriculum vitae to each unit.

29.01 To be ratified, the candidate must have a minimum approval rate of 60% of votes cast.

30.00 In the event of an unsuccessful ratification ballot, the Committee shall meet to determine an alternate course of action.

Recommendation for Appointment

31.00 If the Committee's nominated candidate is ratified, the Chair will recommend the candidate to the President for appointment.

31.01 The recommendation shall be in the form of a report and include recommendations for action and a rationale for the Committee's decision.

Publication of Ratification Results

32.00 If the President offers the appointment to the candidate and the candidate accepts, the results of the ratification ballot shall be published.

Debriefing

33.00 After the President has approved the appointment and the candidate has accepted the nomination, the pertinent Vice-President(s) may meet with the newly appointed Vice-Provost or Associate Vice-President as required to discuss any issues arising from the appointment process as they relate to the mandate for the upcoming term.

AUTHORITIES AND OFFICERS

- i. Approving Authority: Board on recommendation of Senate
- ii. Designated Executive Officers: President
- iii. Procedural Authority: Senate and Board of Governors
- iv. Procedural Officers: Vice-President Academic and Provost; Vice-President Research

RELEVANT LEGISLATION

University Act

Freedom of Information and Protection of Privacy Act

RELATED POLICIES AND DOCUMENTS

Appointment of Non-Academic Associate Vice-Presidents ~~and Non-Academic Assistant Vice-Presidents~~ (GV0345)

**APPENDIX 'A' – ACADEMIC ASSOCIATE VICE-PRESIDENT
APPOINTMENT COMMITTEE FRAMEWORK**
**Appendix 'A' – Vice-Provost and Academic
Associate Vice-President Appointment Committee Framework**

Procedural Authority: Senate and Board of Governors
Procedural Officers: Vice-President Academic and Provost; Vice-President Research

Effective Date: January, 2011
Supersedes:
Last Editorial Change:

PURPOSE

- 1.00 The purpose of this document is to set out the framework for the establishment of Appointment Committees for the appointment or reappointment of a Vice-Provost or an academic Academic Associate Vice-President.

PROCEDURES

- 2.00 Vice-Provost and Academic Associate Vice-President Appointment Committees shall be constituted in accordance with the parameters contained in the following chart.

Position	Number	Composition and Appointment Method
Chair	(1-2)	Vice-President Academic and Provost and/or the Vice-President Research ⁱ (Ex Officio)
Committee Members	(4)	A regular faculty member elected by and from each of the following faculty groupings: <ul style="list-style-type: none"> • Fine Arts and Humanities; • Law, Business and Education; • Science, Engineering and the Division of Medical Sciences; and • Social Sciences and Human and Social Development
	(1)	Dean elected by Deans' Council
	(1)	Undergraduate student selected by the University of Victoria Students' Society
	(1)	Graduate student selected by the Graduate Students' Society
	(1)	Faculty member appointed by the President after elections are complete with a view to considerations such as diversity and balance
	(Up to 2)	Senior administrators or staff members appointed by the President in consultation with the Vice-President(s)
Total	9 - 12	
Secretary	-	An administrative staff member from the Vice-President Academic and Provost's or the Vice-President Research's office as appropriate (non-voting)

ⁱ For the Vice-Provost – normally the Vice-President Academic and Provost

For the Associate Vice-President Academic Planning – normally the Vice-President Academic and Provost
For the Associate Vice-President Research – normally the Vice-President Research

~~—For the Associate Vice-President International— normally the Vice-President Academic and Provost and Vice-
—President Research~~



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: David Castle, Vice-President Research

A handwritten signature in black ink, appearing to read 'D. Castle'.

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Revised Research Policy

Basis for Jurisdiction: Policy on University Policies and Procedures (GV0100)

Strategic Relevance: The Policy on University Policies and Procedures (GV0100) guides the development and review of university policies and procedures. In accordance with this policy and as part of the regular policy review cycle, the Office of the Vice President Research has undertaken a review of several policies that fall under the authority of the Vice-President.

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the revised Research Policy, effective immediately.

Background:

Significant revisions are proposed for this policy, to better align it with language in the Strategic Framework, the Strategic Research Plan and to make it more consistent with the language and

intent of the other research related policies to which it refers. This policy also serves an important function as a 'signposting' policy that guides the UVic researcher communities to other policies. The revisions proposed simplify the content considerably in an effort to improve the navigation by users. For example, clauses that are addressed in other institutional policies have been removed, and an overarching statement regarding compliance with existing policies requires users to reference the relevant and appropriate sources of information in related policies. No substantive changes to the intent or meaning of the policy arise as a result of these revisions.

Planned Further Action: Review of the policy in 2025.

Attachment(s): Draft Research Policy RH8100, January 2019 (clean and tracked changes versions)

Research Policy**University Policy No.:** RH8100**Classification:** Research**Approving Authority:** Board of Governors**Effective Date:** January 2019**Supersedes:** May 2017**Last Editorial Change:****Mandated Review:** January 2026**Purpose**

- 1.00 The purpose of this policy is to set out the governance and principles under which Research is conducted at the University of Victoria.

Definitions

- 2.00 **Research** means the complex application of activities seeking to satisfy curiosity and the quest for new knowledge.

Scope

- 3.00 This policy applies to all individuals conducting Research under the auspices of the university regardless of location.

Policy

- 4.00 Research covers the whole spectrum of knowledge derived from all disciplines. Research activity is expected to be curiosity-driven, creative, open, critically evaluated, and accessible to society.
- 5.00 The university commits to maintaining academic freedom, freedom of inquiry, and freedom of expression, in all its Research activities.
- 6.00 The Board of Governors delegates responsibility to the Vice-President Research for approving regulations and procedures to implement policy in the area of Research, subject to regular due diligence reporting on statutory requirements and any activity involving liability or risk in Research.
- 7.00 Research conducted at the university shall be in accordance with the university's policies and relevant institutional documents including but not limited to those listed in the *Related Policies and Documents* section of this policy.
- 8.00 Faculty are expected to undertake, publish, and disseminate Research in accordance with the parameters set out in the current Collective Agreement between the Faculty Association and the university.

Authorities and Officers

- 9.00 The authorities and officers for this policy are:
- i. Approving Authority: Board of Governors

- ii. Designated Executive Officer: Vice-President Research
- iii. Procedural Authority: Vice-President Research
- iv. Procedural Officer: Vice-President Research

Relevant Legislation

[University Act, RSBC 1996 c 468](#)

Related Policies and Documents

[Collective Agreement between the Faculty Association and the University of Victoria](#)

[Duties and Responsibilities of Directors of Research Centres policy GV0715](#)

[Establishment, Review, and Closure of Research Centres policy RH8300](#)

[External Research Funding Agreements policy RH8200](#)

[Environmental Health and Safety policy SS9200](#)

[Indirect Costs of Research policy FM5400](#)

[Intellectual Property policy GV0215](#)

[Research Funding Management and Financial Accountability policy FM5405](#)

[Research Grants in Lieu of Salary policy \(and associated procedures\) RH8205](#)

[Research Involving Humans policy RH8105](#)

[Research or Teaching Involving Animals policy RH8110](#)

[Scholarly Integrity policies \[AC1105\\(A\\)\]\(#\) and \[AC1105\\(B\\)\]\(#\)](#)

[Signing Authority policy FM5100](#)

[University of Victoria's Strategic Research Plan](#)

University Policy No.: RH8100
Classification: Research
Approving Authority: Board of Governors
Effective Date: ~~May 2017~~ January 2019
Supersedes: ~~June 2002~~ ~~January 2010~~ ~~May 2017~~
Last Editorial Change:
Mandated Review: ~~January 2017~~ ~~May 2024~~ January 2026

RESEARCH POLICY Research Policy

PURPOSE Purpose

1.00 The purpose of this policy is to set out the manner in which governance and principles under which Research is conducted, ~~supported and communicated~~ at the University of Victoria. ~~is expected to be U~~ commits to ing

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DEFINITIONS Definitions

2.00 **Research** ~~means the complex application of activities seeking to satisfy curiosity and the quest for new knowledge~~ means the intentional process of study and creative expression that explores and extends human knowledge and experience

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~~2.00 **Research Funding Agreement** means an agreement between the university and a Sponsor regarding funding for research purposes, whether the agreement would be considered a grant, contract, contribution agreement, or whether the agreement takes any other form, and whether it is legally enforceable or not.~~

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SCOPE Scope

3.00 This policy applies to all individuals conducting Research under the auspices of the University regardless of location.

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3.00

POLICY Policy

4.00 Research covers the whole spectrum of knowledge derived from all disciplines. Research activity is expected to be curiosity-driven, creative, open, critically evaluated, and accessible to society.

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5.00 The University commits to maintaining academic freedom, freedom of inquiry, and freedom of expression, in all its Research activities.

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~~4.00~~ 6.00 The Board of Governors delegates responsibility to the Vice-President Research for approving regulations and procedures to implement policy in the area of Research, subject to regular due diligence reporting on statutory requirements and any activity involving liability or risk in Research.

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~~5.00~~ 7.00 Research ~~or study~~ conducted at the university shall be ~~conducted~~ in accordance with the university's policies and relevant institutional documents including but not limited to,

without limitation, the following those listed in the *Related Policies and Documents* section of this policy.

6.00—Research or study involving human subjects, or animals shall be conducted in accordance with the university's policies for Research Involving Humans RH8105 and Research or Teaching Involving Animals RH8110 respectively.

7.00—Research or study involving risks or hazards of any kind shall be conducted in accordance with the university's Environmental Health and Safety Policy SS9200.

8.00—The university shall aim to create a supportive environment for the generation of intellectual property in all its forms, and enhance the transfer of intellectual property to the public domain through mutually beneficial partnerships.

~~9.00~~9.00 Faculty in professorial ranks are expected to advance their discipline, undertake, publish, and disseminate Research in accordance with the parameters set out in the current **Faculty Association Collective Agreement between the Faculty Association and the university.**; therefore, the university shall normally expect its faculty to place Research results or creative activity in the public domain for information and peer adjudication.

9.00—Results of all Research undertaken in the university shall be fully publishable at the discretion of the researcher(s) or owner(s) of the intellectual property, subject to the qualifications of funding agencies or contractual arrangements.

9.00—Research Funding Agreements which unnecessarily prohibit or delay the use of research results by graduate students for theses, dissertations or other academic purposes related to the completion of their graduate degree will not be permitted. Delays in publication at the request of a funder are permissible in order to protect patentable material pending application, or where immediate commercialization may be jeopardized. Delays in excess of six months require approval of both the Vice-President Research and the Dean of Graduate Studies. Research Funding Agreements may limit or prohibit the disclosure and use of third party confidential and proprietary information (refer to the Intellectual Property Policy GV0215 and Appendix D of the Collective Agreement between the University and the Faculty Association for detail).

Support for Research

9.00—Research and creative activity, as an integral part of scholarship, is part of the primary mission of the university and must be supported at all levels of the institution. The university shall provide material support for Research through the development and maintenance of infrastructure, facilities and support services, and will seek ways to provide extra support and encouragement to Research and creative activity.

9.00—The university shall facilitate the efforts of researchers to secure external funding on acceptable terms in support of particular Research projects or programs in accordance with the External Research Funding Agreements Policy RH8200 and its associated procedures. The university, through the Faculty of Graduate Studies, will also work to assist graduate students in procuring funding.

9.00—Where revenue is generated through Research activity, some portion of that revenue shall be returned to the Office of the Vice-President Research to support other Research initiatives. Refer to the Intellectual Property policy GV0215 and the Indirect Costs of Research policy FM5400 for further detail.

9.01—Eligible faculty members and librarians, who propose to undertake or continue a Research project where the primary purpose involves critical or scientific inquiry aimed at the discovery of new facts or the development of new interpretations or applications, may make an application to receive a portion of their salary in accordance with the university's Research Grants in Lieu of Salary policy RH8205 and its associated procedures thereby enabling the recipient to pay a portion of the expenses associated with undertaking the Research. All applications are subject to peer review.

Sponsored Research

9.00—In fulfilling its responsibility to society, the university will pursue and undertake sponsored Research of benefit to society.

9.01—The university has a responsibility to help society with its issues and problems, many of which might be illuminated or ameliorated by the application of new or existing knowledge. In many cases, this work is carried out through sponsored Research activities funded through contracts, grants or a specific allocation of university resources.

9.01—Grant and contract funds are held in trust by the university and are not the property of any individual. Only the university has the legal authority to enter into contracts or to agree to act as paymaster for a grant. Such authorization must be executed by a university signing officer under authority delegated by the Board of Governors, in accordance with the Signing Authority Policy FM5100.

9.01—Classified or secret Research will not normally be conducted by the university or its members.

Communicating the Importance of Research

9.00—Research and creative activity are civilizing influences and allow advances that provide a better quality of life. Their importance must be communicated to decision makers and the public to ensure their place high on the political and societal agenda. It is essential that government and society recognize the importance of Research to civilization and to the natural world. The university shall communicate both its Research and the impact of its Research to internal and external communities.

9.01—The university commits to recognizing Research excellence within the university and externally.

9.01—The university shall seek to facilitate: faculty representation on external Research or granting agencies.

AUTHORITIES AND OFFICERS

9.00 **The authorities and officers for this policy are:**

- i. Approving Authority: Board of Governors
- ii. Designated Executive Officer: Vice-President Research
- iii. Procedural Authority: Vice-President Research
- iv. Procedural Officer: Vice-President Research

LEGISLATION

Relevant Legislation
University Act, RSBC 1996 c 468

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~~RELATED POLICIES AND DOCUMENTS~~Related Policies and Documents

~~Conflict of Interest and Confidentiality Policy GV0210~~

~~Collective Agreement between the Faculty Association and the University of Victoria~~

~~Duties and Responsibilities of Directors of Research Centres policy GV0715~~

~~Establishment, and Review, and Closure of Research Centres policy RH8300~~

~~External Research Funding Agreements policy RH8200~~

~~Environmental Health and Safety policy SS9200~~

~~Faculty Association Collective Agreement~~

~~Indirect Costs of Research policy FM5400~~

~~Intellectual Property Policy GV0215~~

~~Occupational Health and Safety Policy SS9200~~

~~Research Funding Management and Financial Accountability policy FM5405~~

~~Conflict of Interest and Confidentiality Policy GV0210~~

~~Research Grants in Lieu of Salary policy (and associated procedures) RH8205~~

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~~Research Involving Humans policy RH8105~~

~~Research or Teaching Involving Animals policy RH8110~~

~~Scholarly Integrity policies AC1105(A) and AC1105(B)~~

~~Research Involving Animals RH8110~~

~~Signing Authority Policy FM5100~~

~~University of Victoria's Strategic Research Plan Occupational Health and Safety Policy SS9200~~

~~Framework Agreement~~



University
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SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: David Castle, Vice-President Research 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Revised Establishment and Review of Research Centres Policy (and Associated Procedures)

Basis for Jurisdiction: Policy on University Policies and Procedures (GV0100)

Strategic Relevance: The Policy on University Policies and Procedures (GV0100) guides the development and review of university policies and procedures. In accordance with this policy and as part of the regular policy review cycle, the Office of the Vice President Research has undertaken a review of policies that fall under the authority of the Vice-President.

Previous Consultation: UVic Senate, January 2019

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the revised Establishment and Review and Research Centres Policy (and Associated Procedures), effective immediately.

Background:

The scope of this policy and its associated procedures has been expanded to include the closure of research centres, as well as their establishment and review. Thus the name of the policy (and procedures) is proposed to be changed to: Establishment, Review, and Closure of Research. The scope was also updated to include inter-institutional Centres in which Uvic is the lead institution.

The draft policy now includes updated definitions for: research centre; academic unit; and director.

Other editorial changes include:

- Opening policy statement revised to reflect the updated mandate of Research Centres
- Redundant language removed on the approval, review and governance of Research Centres and the duties and responsibilities of Centre Directors (references provided to the appropriate policy, procedures and guidelines)

The associated procedures for this policy have been amended as follows:

- Name changed to Procedures for the Establishment, Review and Closure of Research Centres to reflect updated scope
- The description of the different types of research centres was updated, and a reference table was added along with several bullet points describing the governance responsibilities. Changes throughout the procedures reflect a streamlining of the description of the processes due to the addition of the table
- A process for changing the name of a research centre was added.
- Provisions for the closure of a research centre have been added.

No other changes to process, procedure, responsibility, authority, or notification requirements are proposed in the revisions.

Planned Further Action: Review of the procedures in 2025.

Attachment(s): Draft Establishment and Review of Research Centres Policy (and Associated Procedures) RH8300, January 2019 (clean and tracked changes versions)

**Establishment, Review, and Closure of
Research Centres**

University Policy No: RH8300
Classification: Research
Approving Authority: Board of Governors
(on the recommendation of Senate)
Effective Date: January 2019
Supersedes: January 2010
Last Editorial Change:
Mandated Review: January 2026

Associated Procedures

[Procedures for the Establishment and Review of Research Centres](#)

Purpose

1.00 The purpose of this policy is to provide direction:

- to those seeking university approval for the establishment of Research Centres; and
- on the review of the performance of Research Centres.

Definitions

2.00 **Research Centre** is a formally approved research organization made up of a group of faculty members, students, and other research personnel who collaborate on an area of research, inclusive of all research, scholarship, and creative activity, whose work together provides added value over and above their individual research programs, and who benefit from the university's official recognition of that collaboration.

3.00 **Academic Unit** is an academic department, school, division, or faculty.

4.00 **Director** is the leader of a Research Centre.

5.00 **Academic Constituency** of a Research Centre is the academic unit(s) from which a Research Centre primarily draws its membership.

Scope

6.00 This policy applies to the establishment and governance of Research Centres at the University of Victoria including inter-institutional Research Centres in which the University Of Victoria is the lead institution.

Policy

7.00 The university encourages the establishment of Research Centres at various levels of the organization that respond to emerging research opportunities, promote collaborative and interdisciplinary research, and enhance research networking capacity and infrastructure. Research Centres take a leading role at the university in forming external partnerships in Canada and throughout the world, and in mobilizing knowledge. Faculty may be

involved in one or more of the projects in a Research Centre and be active in more than one Research Centre.

8.00 The university is committed to developing and maintaining high-quality programs of research. Therefore, it provides for appropriate reviews and management of Research Centres as well as ongoing improvement activities and an evolving strategic direction (i.e. as articulated in the university's Strategic Research Plan).

9.00 The administrative requirements, approval and renewal processes, scope of activities, and other aspects of Research Centres are dependent on the breadth of their academic constituencies. Research Centres are of four types:

- Intra-faculty - membership and activities primarily within a single department, a non-departmentalized faculty, or between departments in a single faculty
- Inter-faculty - membership and activities primarily between 2 faculties
- Multi-faculty - membership and activities primarily between 3 or more faculties
- Inter-institutional - membership and activities between multiple institutions.

Purposes and Objectives of Research Centres

10.00 The purposes of establishing a Research Centre are to:

- a. Promote and facilitate collaborative and/or interdisciplinary research and enhancement of research networking capacity and infrastructure.
- b. Increase and effectively manage the resources and research support for its members and the wider university community.
- c. Provide education and training in research and related skills, especially for graduate and undergraduate students, and thereby enhance the academic programs of their constituent academic units.
- d. Contribute to the university's strategic educational and research missions and to support synergies between research, teaching, and learning.
- e. Transfer and mobilize knowledge gained through research for the benefit of society, via a variety of mechanisms as appropriate.
- f. Enhance the reputation of its members, the constituent academic units, and the university through the quality of its work.

11.00 Research Centres are expected to develop their own objectives and measurable goals to meet the purposes stated in section 10.00 of this policy. The Research Centre's objectives and goals should be appropriate for the size and scope of its Academic Constituency.

Approval, Governance, and Review of Research Centres

12.00 Research Centres are constituted formally as part of the university's organization and are subject to its direction, oversight, and strategic plans.

13.00 The administrative and organizational structures of Research Centres are developed as appropriate to the mandate and type of the centre. All have equal status as University of Victoria Research Centres.

- 14.00 Research Centres may use cognate titles such as “institute”. Such titles do not imply differences in structure or function.
- 15.00 The establishment, approval, review, and closure of all Research Centres shall be in accordance with the associated [Procedures for the Establishment, Review, and Closure of Research Centres](#) and the [Guidelines for the Review of Research Centres](#).
- 16.00 Research Centres are approved for a term of normally five years. Continuance of a Research Centre is subject to a review, the ongoing purpose for the Centre, and funding arrangements.
- 17.00 Research Centres and their constituent academic units are expected to establish mechanisms to assure there is ongoing communication for purposes of coordinating resources, training, research activities, and strategic planning.

Administrative and Financial Structure of Research Centres

- 18.00 A Research Centre will be led by a faculty member of the university, in accordance with the university's [Duties and Responsibilities of Directors of Research Centres policy GV0715](#) and [Procedures for Appointment and Review of Research Centre Directors GV0705](#).
- 19.00 Contributions to the work of a Research Centre are to be included in documentation for career evaluation purposes (e.g., tenure, promotion, merit awards, etc.) subject to the relevant faculty evaluation policy.
- 20.00 A Research Centre may employ its own research, technical, and clerical staff on term appointments, subject to the relevant collective agreements and university human resource policies.
- 21.00 A Research Centre may occupy space designated specifically for its own use, or its activities may be carried out without assigned space. A Research Centre may be located on the university campus, or in off-campus premises owned by the university, or in premises owned by a third-party.
- 22.00 Funding for Research Centres can be made up of a combination of multiple internal and external sources including but not limited to: external funding agreements, academic unit operating funds, non-recurring funds, indirect funding, and endowments. Funding sources may change and adapt over time.
- 23.00 A Research Centre must obtain approval from the Associate Vice-President Alumni and Development for fundraising activities directed at external donors. All fundraising activities undertaken by a Research Centre shall be in accordance with the university's [Fundraising and Gift Acceptance Policy ER4105](#).
- 24.00 A Research Centre that plans to sell services or products on a commercial basis may not compete unfairly with private sector organizations offering similar services or products and must comply with the intellectual property and commercialization policies of the university.

25.00 Any agreement defining the obligations and liability of the university with respect to the activities of, and with respect to the other participants in, the Research Centre will require the approval of the Vice-President Research or delegate. Such agreements shall comply with the signing and research policies and procedures of the university.

Authorities and Officers

26.00 The authorities and officers for this policy are:

- i) Approving Authority: Board of Governors (on the recommendation of Senate)
- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Board of Governors
- iv) Procedural Officer: Vice-President Research

Relevant Legislation

[University Act, RSBC 1996 c 468](#)

Related Policies and Documents

[Duties and Responsibilities of Directors of Research Centres \(GV0715\)](#)

[Fundraising and Gift Acceptance \(ER4105\)](#)

[Intellectual Property \(GV0215\)](#)

[Procedures for the Establishment, Review, and Closure of Research Centres \(RH8300\)](#)

[Procedures for Appointment and Review of Research Centre Directors \(GV0705\)](#)

[Guidelines for the Review of Research Centres](#)

[Collective Agreement with the Faculty Association](#)

Procedures for the Establishment, Review, and Closure of Research Centres

Procedural Authority: Board of Governors
Procedural Officer: Vice-President Research
Parent Policy: [Establishment, Review, and Closure of Research Centres RH8300](#)

Effective Date: November 2018
Supersedes: January 2010
Last Editorial Change:

Purpose

- 1.00 The purpose of these procedures is to set out the processes for the establishment, approval, administration, review, and closure of Research Centres at the university.

Procedures

- 2.00 Table I identifies the Administrative Authority and Approval Authority for each category of Research Centre where:
- 2.01 The Administrative Authority has responsibility for submitting the recommendation to establish or renew a Research Centre and ongoing responsibility for the oversight of the administration and activities of the Centre. The Administrative Authority also has responsibility for the review of a Research Centre following the procedures specific below.
 - 2.02 The Approval Authority has responsibility for the formal approval of the establishment or renewal of a Research Centre.
 - 2.03 In the case of an inter-faculty Research Centre, the Dean of the faculty is both the Administrative and the Approval Authority.
- 3.00 Table I also specifies the notification requirements when a Research Centre is established or renewed.

Table I

Type	Administrative Authority	Approval Authority	Notification
Intra-Faculty	Dean of Faculty	Dean of Faculty after consultation with the Vice-President Research	Dean notifies Faculty Council. Dean notifies Vice-President Research who notifies Senate and the Board of Governors.
Inter-Faculty	Deans of Faculties	Vice-President Research on the recommendation of the Deans	Vice-President Research notifies Senate and the Board of Governors
Multi-Faculty	Vice-President Research	Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President Research	Vice-President Research notifies the Board of Governors
Multi-Institutional	Vice-President Research in consultation with the Vice-President Academic and Provost	Board of Governors on the recommendation of Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President of Research	n/a

Establishment and Approval of a Research Centre

- 4.00 The Approval Authority has responsibility for approving the establishment of a Research Centre based on the recommendation of the Administrative Authority. Approval will be for an initial term that will not exceed five years.
- 5.00 Proposals for the establishment of a Research Centre should be submitted to the Administrative Authority and include detailed information on the following items where applicable:
- Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the priorities and goals of the Centre's Academic Constituency and the university.
 - An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre.

- Evidence that there exists within the university, or within the institutions in the case of a multi-institutional Centre, a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate on projects the Research Centre will sponsor or undertake.
- Identification of the required direct and indirect resources, including funding, space, services and personnel, and their sources, in a detailed business plan.
- A statement outlining the benefits of the proposed centre to the university and society.

6.00 An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established in consultation with the Administrative Authority. The organizational structure and governance of the Research Centre will include a steering committee whose membership will include representatives commensurate with the Academic Constituency of the Centre. The duties and responsibilities of the Director will be negotiated between the Administrative Authority and the Director.

7.00 After approval of the establishment of a Research Centre, notification will be undertaken as specified in Table I.

Review of Research Centre

8.00 The review of a Research Centre will be initiated by the Administrative Authority 12 months in advance of the expiry of the current term.

8.01 In the event that the Director, after consultation with the faculty members in the Research Centre, advised the Administrative Authority that the Research Centre should not be considered for renewal, the Centre will be closed as described in Sections 25.00-27.00.

9.00 A panel shall be established for the review, consisting of one internal and two external members appointed by the Administrative Authority in consultation with the Director of the Centre. The Administrative Authority will appoint the chair, who will normally be an external member. The Administrative Authority may add additional external members if that is necessary to undertake a fulsome review of the Centre.

10.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate or collaborator with a faculty member engaged with the Research Centre. Internal members will normally be from a department, school, or faculty other than the home unit of the Centre Director.

11.00 In the case of an intra-faculty Centre, and with the approval of the Vice-President Research, an external member may be a faculty member in a faculty other than the Centre's home faculty.

12.00 Prior to the review, the Director in consultation with others in the Centre will prepare a self-assessment report. The report will include an evaluation of the performance of the Centre against the objectives and goals set out at the time of its establishment or

previous review. The Administrative Authority will review the report and may require alterations before it is sent to the review panel.

- 13.00 For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the [Guidelines for the Review of Research Centres](#).
- 14.00 The panel shall satisfy itself that the self-assessment report has included contributions from the Centre's faculty members, staff, students, and other internal and external stakeholders as appropriate.
- 15.00 The panel will undertake a site visit to the Centre, normally two days, to meet with the Administrative Authority and members of the Centre including the Director, faculty, staff, students, and steering committee members. The panel may also meet with others as required to assess the Centre, e.g. representatives from other institutions in the case of a multi-institutional Centre.
- 16.00 The panel shall prepare a detailed report on the Centre and its activities, and make a recommendation on its continuation or closure or a conditional continuation of the Centre not to exceed two years
- 17.00 The panel chair shall submit the panel's report to the Administrative Authority who will in turn relay it to the Director for a written response to any issues raised in the report.
- 18.00 In the event the Administrative Authority supports the renewal of a Centre, a recommendation for renewal, normally for five years, is submitted to the Approving Authority accompanied by the Centre's self-assessment report, the panel's report, and the Director's response to the panel's report. The Approving Authority will undertake the necessary notifications as outlined in Table I.
- 19.00 If the Approval Authority's decision is a conditional continuation of the Centre, a further review of the Centre's activities will be conducted under the direction of the Administrative Authority during the continuation period. A Centre cannot be granted two consecutive conditional continuations.
- 20.00 In the event the Administrative Authority does not support renewal of a Centre, the Approving Authority shall be so informed with reasons. The Approving Authority may accept the decision of the Administrative Authority, or may request the Administrative Authority to reconsider. If the Approving Authority accepts the decision of the Administrative Authority, the Centre will be closed as described in Sections 25.00-27.00.

Renaming of a Research Centre

- 21.00 For a Research Centre to change its name, the Director must prepare a proposal outlining the rationale for a new name. This proposal is submitted to the Administrative Authority for approval before submission to the Approving Authority.

- 22.00 Once the proposal for a name change is approved by the Approving Authority, the Research Centre Director will distribute the proposal to members of the Research Centre or other internal or external stakeholders, and solicit letters of support in favour of the new name. Letters must be on official letterhead of the member's unit or institution, and addressed to the Approving Authority.
- 23.00 The Director will forward all letters of support to the Administrative Authority for completion of the approval and notification process, as required in Table I.

Closure of a Research Centre

- 24.00 In exceptional circumstances, a Centre may be closed before the end of its current term, with the agreement of the Administrative Authority and the Director after consultation with faculty members in the Centre.
- 25.00 When a Research Centre is to be closed, the Director (or the person to last serve in that position) shall be responsible for coordinating the appropriate and orderly closure of the Centre, including but not limited to completion or termination of research activities and projects in the Centre, resolution of financial matters, disposition of infrastructure (including computers) and other physical resources (e.g. furnishings), archiving of management records, and proper handling of research resources including archiving of research data, records, and research results as required by university or funding agency policy.
- 26.00 The Vice-President Research shall notify Senate and the Board of Governors of any closures in the annual report on Research Centres.

Related Policies and Documents

[Duties and Responsibilities of Directors of Research Centres policy GV0715](#)

[Establishment, Review, and Closure of Research Centres policy RH8300](#)

[Procedures for Appointment and Review of Research Centre Directors GV0705](#)

[Guidelines for the Review of Research Centres](#)

Establishment, ~~and~~ Review, ~~and~~ Closure of Research Centres

University Policy No: RH8300
Classification: Research
Approving Authority: Board of Governors (on the recommendation of Senate)
Effective ~~Date:~~ ~~January 2010~~ ~~November 2018~~ ~~January 2019~~
Supersedes: ~~April 2005~~ ~~January 2010~~
Last Editorial Change:
Mandated ~~Review:~~ ~~January 2014~~ ~~November 2025~~ ~~January 2026~~

Associated Procedures

[Procedures for the Establishment and Review of Research Centres](#)

~~PURPOSE~~ Purpose

- 1.00 The purpose of this policy is to provide direction:
- to those seeking university approval for the establishment of Research Centres; and
 - on the review of the performance of Research Centres.

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~~DEFINITIONS~~ Definitions

- 2.00 ~~A Research Centre~~ is defined as a ~~formally approved~~ research organization made up of a group of faculty members, ~~students, and other research personnel~~ who collaborate on an area of research, ~~inclusive of all research, scholarship, and creative activity~~, whose work together provides added value over and above their individual research programs, and who benefit from the ~~u~~ university's official recognition of that collaboration.
- 3.00 **Academic Unit** is a ~~recognized an~~ academic ~~De~~department, ~~Ss~~school, ~~De~~division, or ~~fF~~faculty.
- 4.00 ~~A Director~~ is the leader of a Research Centre. ~~The title 'Director' may be changed to a more appropriate title depending on the type of research centre.~~
- 5.00 **Academic Constituency** of a Research Centre is the academic unit(s) from which a Research Centre primarily draws its membership.

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~~JURISDICTION/SCOPE~~ Scope

- 6.00 This policy applies to the establishment and governance of Research Centres at the University of Victoria ~~including inter-institutional~~ ~~Research Centres in which the University Of Victoria is the lead institution.~~

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~~POLICY~~ Policy

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7.00 The University encourages the establishment of Research Centres at various levels of the organization that will enhance and facilitate disciplinary and interdisciplinary research collaboration, knowledge transfer and training respond to emerging research opportunities, promote collaborative and interdisciplinary research, and enhance research networking capacity and infrastructure. Research Centres take a leading role at the University in forming external partnerships in Canada and throughout the world, and in mobilizing knowledge. Faculty may be involved in one or more of the projects in a Research Centre and be active in more than one Research Centre.

8.00 The University is committed to developing and maintaining high-quality programs of research. Therefore, it provides for appropriate reviews and management of Research Centres that ensure internal and public accountability as well as ongoing improvement activities and an evolving strategic direction (i.e. as articulated in the University's Strategic Research Plan).

9.00 The administrative requirements, approval and renewal processes, breadth scope of activities, and other aspects of Research Centres occur along a continuum that is proportionate to are dependent on the breadth of their academic constituencies. This proportionality is primarily based on the location Research Centres are of the majority of the membership and activities of the centre and approximately parallels a department-faculty-university structure: four types:

- Intra-faculty - membership and activities normally primarily within a single department, a non-departmentalized Faculty, or between departments in a single faculty
- Inter-faculty - membership and activities primarily normally between 2 faculties
- Multi-faculty - membership and activities primarily normally between 3 or more faculties
- Inter-institutional - membership and activities between multiple universities institutions.

Purposes and Objectives of Research Centres

10.00 The purposes of establishing a Research Centre are to:

- a. Promote and facilitate collaborative and/or interdisciplinary research and enhancement of research networking capacity and infrastructure.
- b. Increase and effectively manage the resources and research support for its members and the wider university community.
- c. Provide education and training in research and related skills, especially for graduate and undergraduate students, and thereby enhance the academic programs of their constituent academic units.
- d. Contribute to the University's strategic educational and research missions and to support synergies between research, teaching, and learning.
- e. Transfer and mobilize knowledge gained through research for the benefit of society, via a variety of mechanisms as appropriate.
- f. Enhance the reputation of its members, the constituent academic units, and the university through the quality of its work.

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11.00 Research Centres are expected to develop their own objectives and measurable goals to meet the purposes stated in Section 10.00 of this policy. The Research Centre's objectives and goals should be consistent with the proportionate approach taken toward its establishment appropriate for the size and scope of its Academic Constituency.

Approval, Governance, and Review of Research Centres

12.00 Research Centres are constituted formally as part of the University's organization and are subject to its direction, oversight, and strategic plans.

13.00 The administrative and organizational structures of Research Centres are developed along a proportionate continuum that is not hierarchical in nature, as appropriate to the mandate and type of the centre. All have equal status as University of Victoria Research Centres.

14.00 Research Centres may use cognate titles such as "institute", "laboratory", "centre", "group", etc. Such titles do not imply differences in structure or function.

15.00 The establishment, approval and, review, and closure of all Research Centres shall be in accordance with the associated Procedures for the Establishment, and Review, and Closure of Research Centres and the Guidelines for the Review of Research Centres.

~~16.00 The approval, review and governance of the Research Centres defined in this policy and its related procedures and guidelines will be proportionate, recognizing the level of oversight required and the need to balance this oversight with the level of resource implications created by a Research Centre.~~

~~17.00 The approval and review process, oversight and administrative responsibility for Research Centres occur along a continuum from departments to faculties to institutional and the inter-institutional levels.~~

~~18.00 Subject to the outcome of regular assessments of their performance, the duration of the existence of Research Centres follows a proportionate model depending on its purpose and funding arrangements, ranging from a specified limited term to in perpetuity.~~

16.00 Research Centres are approved for a term of normally five years. Continuance of a Research Centre is subject to a review, the ongoing purpose for the Centre, and funding arrangements.

~~19.00~~17.00 Research Centres and their constituent academic units are expected to establish mechanisms to assure there is ongoing communication for purposes of coordinating resources, training, research activities, and strategic planning.

Administrative and Financial Structure of Research Centres

~~20.00~~18.00 A Research Centre will normally be led by a faculty member of the University, in accordance with the university's Duties and Responsibilities of Directors of Research Centres policy GV0715 and Procedures for Appointment and Review of Research Centre Directors GV0705.

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~~21.00~~ The leader of a Research Centre may be given the title of 'Director' or an equivalent designation.

~~22.00~~ The appointment or review and re-appointment of a Research Centre Director shall be conducted in accordance with the *Procedures for Appointment and Review of Research Centre Directors GV9705*.

~~23.00~~ 19.00 Contributions to the work of a Research Centre are to be included in documentation for career evaluation purposes (e.g., tenure, promotion, merit awards, etc.) subject to the relevant faculty evaluation policy.

~~24.00~~ 20.00 A Research Centre may employ its own research, technical, and clerical staff on term appointments, subject to the relevant collective agreements, ~~the Framework Agreement~~ and ~~tu~~University human resource policies.

~~25.00~~ 21.00 A Research Centre may occupy space designated specifically for its own use, or its activities may be carried out without assigned space. A Research Centre may be located on the ~~tu~~University campus, or in off-campus premises owned by the ~~tu~~University, or in premises owned by a third-party.

~~26.00~~ 22.00 Funding for Research Centres can be made up of a combination of multiple internal and external sources including but not limited to: external funding agreements, academic unit operating funds, non-recurring funds, indirect funding, and endowments. Funding sources may change and adapt over time.

~~27.00~~ 23.00 A Research Centre must obtain approval from the Associate Vice-President Alumni and Development for fundraising activities directed at external donors ~~so that these activities do not conflict with the university's fundraising activities~~. All fundraising activities undertaken by a Research Centre shall be in accordance with the university's *Donations and Fundraising Policy ER4105 Fundraising and Gift Acceptance Policy ER4105*.

~~28.00~~ 24.00 A Research Centre that plans to sell services or products on a commercial basis may not compete unfairly with private sector organizations offering similar services or products and must comply with the intellectual property and commercialization policies of the university.

25.00 Any agreement defining the obligations and liability of the ~~tu~~University with respect to the activities of, and with respect to the other participants in, the Research Centre will require the approval of the Vice-President Research or delegate. Such agreements shall comply with the signing and research policies and procedures of the university.

~~AUTHORITIES AND OFFICERS~~ **Authorities and Officers**

~~29.00~~ 26.00 The authorities and officers for this policy are:

~~AUTHORITIES AND OFFICERS~~

i) Approving Authority: Board of Governors (on the recommendation of Senate)

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- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Board of Governors
- iv) Procedural Officer: Vice-President Research

~~RELATED LEGISLATION~~ Relevant Legislation

University Act, RSBC 1996 c 468

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~~RELATED POLICIES AND DOCUMENTS~~ Related Policies and Documents

[Duties and Responsibilities of Directors of Research Centres \(GV0715\)](#)

[Fundraising and Gift Acceptance \(ER4105\)](#)

[Intellectual Property \(GV0215\)](#)

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[Procedures for the Establishment, ~~and~~ Review, and Closure of Research Centres \(RH8300\)](#)

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[Procedures for Appointment and Review of Research Centre Directors \(GV0705\)](#)

[Guidelines for the Review of Research Centres](#)

[Donations and Fundraising ER4105](#)[Fundraising and Gift Acceptance ER4105](#)

[Framework Agreement](#)[Collective Agreement with the Faculty Association](#)

DRAFT

PROCEDURES FOR THE ESTABLISHMENT, AND REVIEW AND CLOSURE OF RESEARCH CENTRES

Procedures for the Establishment, Review, and Closure of Research Centres

Procedural Authority: Board of Governors

Effective Date: ~~January 2010~~ **November 2018**

Procedural Officer: Vice-President Research

Supersedes: ~~January 2010~~ **NEW**

Parent Policy: [Establishment, and Review, and Closure of Research Centres RH8300](#)

Last Editorial Change: **NEW**

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PURPOSE~~Purpose~~

1.00 The purpose of these procedures is to set out the ~~proportionate~~ processes for the establishment, approval, administration, ~~and review, and closure~~ of Research Centres at the ~~the~~ university.

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PROCEDURES~~Procedures~~

2.00 ~~The Vice President Research, in consultation with the appropriate Dean(s), will determine which proportionate track will guide the establishment, review, and administration of a Research Centre. This proportionality is primarily based on the location of the majority of the membership and activities of the centre, and approximately parallels a department faculty university structure:~~

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- ~~• Intra faculty membership and activities normally within a single department, a non departmentalized Faculty, or between departments in a single faculty~~
- ~~• Inter faculty membership and activities normally between 2 faculties~~
- ~~• Multi faculty membership and activities normally between 3 or more faculties~~
- ~~• Inter institutional membership and activities between multiple universities~~

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2.00 ~~The four proportionate tracks, which are described in greater detail below, serve as administrative guides and are not intended to be prescriptive. A specific Research Centre may be best served by a hybrid approach to its organization and processes. Regardless of the track taken, all will be designated as University of Victoria Research Centres. Table I identifies the Administrative Authority and Approval Authority for each category of Research Centre where:~~

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2.01 ~~The Administrative Authority has responsibility for submitting the recommendation to establish or renew a Research Centre and ongoing responsibility for the oversight of the administration and activities of the Centre. The Administrative Authority also has responsibility for the review of a Research Centre following the procedures specific below.~~

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2.02 The Approval Authority has responsibility for the formal approval of the establishment or renewal of a Research Centre.

2.03 In the case of an inter-faculty Research Centre, the Dean of the Faculty is both the Administrative and the Approval Authority.

3.00

Table I also specifies the notification requirements when a Research Centre is established or renewed.

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Table 14

Type	Administrative Authority	Approval Authority	Notification
Intra-Faculty	Dean of Faculty	Dean of Faculty after consultation with the Vice-President Research	Dean notifies Faculty Council. Dean notifies Vice-President Research who notifies Senate and the Board of Governors.
Inter-Faculty	Deans of Faculties	Vice-President Research on the recommendation of the Deans	Vice-President Research notifies Senate and the Board of Governors
Multi-Faculty	Vice-President Research	Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President Research	Vice-President Research notifies the Board of Governors
Multi-Institutional	Vice-President Research in consultation with the Vice-President Academic and Provost	Board of Governors on the recommendation of Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President of Research	n/a

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Establishment and Approval of a Research Centres with primary membership at the departmental level (Intra faculty Research Centre)

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5.00 An intra faculty Research Centre is established within a single department, a non-departmentalized faculty, or between departments within a single faculty of the University of Victoria.

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5.014.00

The Approval Authority has responsibility for approving the establishment of a Research Centre based on the recommendation of the Administrative Authority. Approval will be for an initial term that will not exceed five years.

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6.005.00

Proposals for the establishment of an intra faculty Research Centre should be submitted to the dean the Administrative Authority and include detailed information on the following items where applicable:

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- Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the ~~department(s), faculty and university's~~ priorities and goals of the Centre's Academic Constituency and the University.
- An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre.
- Evidence that there exists ~~within~~ the university, or within the institutions in the case of a multi-institutional Centre, a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate on projects ~~at the Research Centre~~ will sponsor or undertake.
- Identification of the required direct and indirect resources, including funding, space, services and personnel, and their sources, in a detailed business plan.
- A statement outlining the benefits of the proposed centre to the ~~the~~ University and society.

7.006.00

n organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established in consultation with the ~~dean~~ Administrative Authority. The organizational structure and governance of the ~~intra-faculty~~ Research Centre will include a steering committee ~~and whose~~ membership will include ~~chair(s) or their delegates~~ representatives commensurate with the Academic Constituency of the Centre. The duties and responsibilities of the ~~Director~~ will be negotiated between the ~~dean and the director~~ Administrative Authority and the Director. ~~The dean will consult with the Vice President Research on the proposal before making a decision on whether to approve the establishment of the Research Centre.~~

7.00 After ~~approving the intra-faculty~~ approval of the establishment of a Research Centre, notification will be undertaken as specified in Table I. ~~the dean will advise the Faculty Council and report the establishment of the new centre to the Vice President Research, who will report to the Senate and Board of Governors for their information.~~

Review of ~~Intra-Faculty~~ Research Centres

8.00 The review of a Research Centre will be initiated by the ~~dean~~ Administrative Authority 12 months in advance of the expiry of the current term.

7.018.01

n the event that the Director, after consultation with the faculty members in the Research Centre, advised the Administrative Authority that the Research Centre should not be considered for renewal, the Centre will be closed as described in Sections 25.00-27.00.

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9.00 The process of review is to be determined by the dean, but would normally include a self-assessment of the Research Centre by the director (or equivalent) and an internal university review panel which includes the chairs, or their designates, from the constituent academic units. The review may be augmented by a written external review by an appropriate peer group. A panel shall be established for the review, consisting of one internal and two external members appointed by the Administrative Authority in consultation with the Director of the Centre. The Administrative Authority will appoint the chair, who will normally be an external member. The Administrative Authority may add additional external members if that is necessary to undertake a fulsome review of the Centre.

10.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate or collaborator with a faculty member engaged with the Research Centre. Internal members will normally be from the department, school, or faculty other than the home unit of the Centre Director.

11.00 In the case of an intra-faculty Centre, and with the approval of the Vice-President Research, an external member may be a faculty member in a faculty other than the Centre's home faculty.

~~8.00~~12.00 Prior to the review, the Director in consultation with others in the Centre will prepare a self-assessment report. The report will include an evaluation of the performance of the Centre against the objectives and goals set out at the time of its establishment or previous review. The Administrative Authority will review the report and may require alterations before it is sent to the review panel.

13.00 For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the [Guidelines for the Review of Research Centres](#).

14.00 The panel shall satisfy itself that the self-assessment report has included contributions from the Centre's faculty members, staff, students, and other internal and external stakeholders as appropriate.

15.00 The panel will undertake a site visit to the Centre, normally two days, to meet with the Administrative Authority and members of the Centre including the Director, faculty, staff, students, and steering committee members. The panel may also meet with others as required to assess the Centre, e.g. representatives from other institutions in the case of a multi-institutional Centre.

16.00 The panel shall prepare a detailed report on the Centre and its activities, and make a recommendation on its continuation or closure or a conditional continuation of the Centre not to exceed two years

17.00 The panel chair shall submit the panel's report to the Administrative Authority who will in turn relay it to the Director for a written response to any issues raised in the report.

18.00 In the event the Administrative Authority supports the renewal of a Centre, a recommendation for renewal, normally for five years, is submitted to the Approving Authority accompanied by the Centre's self-assessment report, the panel's report, and the Director's response to the panel's report. The Approving Authority will undertake the necessary notifications as outlined in Table I.

19.00 If the Approval Authority's decision is a conditional continuation of the Centre, a further review of the Centre's activities will be conducted under the direction of the Administrative Authority during the continuation period. A Centre cannot be granted two consecutive conditional continuations.

~~9.00~~20.00 In the event the Administrative Authority does not support renewal of a Centre, the Approving Authority shall be so informed with reasons. The Approving Authority may accept the decision of the Administrative Authority, or may request the Administrative Authority to reconsider. If the Approving Authority accepts the decision of the Administrative Authority, the Centre will be closed as described in Sections 25.00-27.00.

~~10.00~~ **The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.**

~~11.00~~ **A review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre's mandate and submitted to the dean in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.**

~~12.00~~ **The decision of the dean on the continuation or closure of the intra-faculty research centre will be reported to the Faculty Council and Vice-President Research, who will report the decision to the Senate and the Board of Governors for their information.**

~~Establishment and Approval of Research Centres with membership primarily from Two Faculties (Inter-Faculty Research Centre)~~

~~13.00~~ **An inter-faculty Research Centre is established between two faculties of the University of Victoria.**

~~14.00~~ **Inter-faculty Research Centres seeking establishment require the approval of the Vice-President Research on the recommendation of the relevant Deans.**

~~14.01~~ **Approval will be for an initial term that will not exceed five years.**

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~~15.00. Proposals for the establishment of an inter-faculty Research Centre should be submitted to the appropriate deans for initial approval and recommendation to the Vice-President Research. Proposals should include detailed information on the following items where applicable:~~

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~~a. Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the faculties' and university's priorities and goals~~

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~~b. An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre~~

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~~c. Evidence that there exists with the university a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate in projects it will sponsor or undertake~~

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~~d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan~~

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~~e. A statement outlining the benefits to the university and society of the proposed centre~~

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~~16.00 An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established in consultation with the appropriate deans. The organizational structure and governance of the faculty Research Centre will include a steering committee and membership will include Deans or their delegates.~~

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~~17.00 After approving the Research Centre the Vice-President Research will report the establishment of the new centre to the Senate Committee on Planning, the Senate and the Board of Governors.~~

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~~Review of Inter-Faculty Research Centres~~

~~18.00 The review will be initiated by the relevant deans 12 months in advance of the expiry of the current term.~~

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~~19.00 The review process will be determined by the deans and would normally include a self-assessment by the director (or equivalent), an internal review panel which may be augmented by external representation and a written external peer review. The review should be submitted to the Vice-President Research for a decision on continuation or closure.~~

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~~20.00 The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.~~

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21.00. ~~For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the Guidelines for the Review of Research Centres.~~

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22.00. ~~At the end of the inter-faculty Research Centre's term, the relevant deans will recommend to the Vice-President Research continuation or closure of the Research Centre. A review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre's mandate and submitted to the Vice-President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.~~

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23.00. ~~The decision of the Vice-President Research on the continuation or closure of the faculty Research Centre will be reported to the Senate and Board of Governors for information.~~

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~~Establishment and Approval of Research Centres with Members from Multiple (>2) Faculties (Multi-Faculty Research Centre)~~

24.00. ~~A multi-faculty Research Centre is established between three or more faculties of the University of Victoria.~~

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25.00. ~~Multi-faculty Research Centres seeking establishment require the approval of the Senate on the recommendation of the Vice-President Research in consultation with the Vice-President Academic and Provost. Approval will be for an initial term that will not exceed five years.~~

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26.00. ~~Proposals for the establishment of a multi-faculty Research Centre should be submitted to the Senate Committee on Planning by the Vice-President Research. This submission should include an assessment of the priority that should be accorded the proposed area of interdisciplinary research within the context of the university's strategic plan.~~

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27.00. ~~Proposals should include detailed information on the following items where applicable:~~

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a. ~~Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the faculties' and university's priorities and goals~~

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b. ~~An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre~~

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c. ~~Evidence that there exists within the university a group of faculty members with established reputations in the field proposed for the centre who are willing to collaborate in projects it will sponsor or undertake~~

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d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan

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e. A statement outlining the benefits to the university and society of the proposed centre

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28.00 An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established by the Vice-President Research in consultation with the appropriate Deans. The organizational structure and governance of a multi-faculty Research Centre will include a steering committee including representation from all participating faculties including the requisite deans (or delegates), the Vice-President Research (or delegate), and other relevant stakeholders.

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29.00 After approval of the multi-faculty Research Centre by Senate the Vice-President Research will report the establishment of the new centre to the Board of Governors.

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Review of Multi-Faculty Research Centres

30.00 The review will be initiated by the Vice-President Research 12 months in advance of the expiry of the current term.

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31.00 At the end of the multi-faculty Research Centre's term, the Vice-President Research will recommend to Senate continuation or closure of the Research Centre. A formal review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre's mandate and submitted to the Vice-President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

32.00 A panel shall be established for the review, consisting of one internal and two external members appointed by the Vice-President Research in consultation with the director (or equivalent) of the centre and the appropriate deans. The Vice-President Research will appoint the chair, who will normally be an external member.

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33.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate.

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34.00 Prior to the review the Research Centre, in consultation with the Vice-President Research, will prepare a self-assessment report. The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.

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35.00. The panel shall satisfy itself that the self-assessment report has included contributions from the Research Centre's faculty members, staff, students, and other internal and external stakeholders as appropriate.

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36.00. For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the Guidelines for the Review of Research Centres.

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37.00. The panel shall prepare a detailed report on the Research Centre and its activities, and make a recommendation on its continuation or closure or a conditional continuation of the centre not to exceed two years. During that time a further review of the centre's activities will be conducted under the direction of the Vice-President Research. A Research Centre can be given only one conditional continuation.

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38.00. The panel report shall be forwarded to the Vice-President Research who will in turn relay it to the director (or equivalent) of the centre for a written response to any issues raised in the Report.

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39.00. The Vice-President Research shall make a recommendation regarding the Research Centre's continuation, as well as any terms and conditions that are appropriate, taking into account the panel report.

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39.01. The panel report, together with the recommendation of the Vice-President Research, shall be forwarded to the chair of the Senate Committee on Planning for consideration by the committee.

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39.02. The committee will forward its recommendation on continuation to the Senate for approval.

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39.03. The Vice-President Research will report the decision of Senate on the continuation or closure of the centre to the Board of Governors.

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Establishment and Approval of Inter-Institutional Research Centres

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40.00. An inter-institutional research centre is established at the University of Victoria and in collaboration with other institutions or universities.

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41.00. Inter-institutional Research Centres seeking establishment require the approval of the Board of Governors on the recommendation of the Senate. Approval will be for an initial term that will not exceed five years.

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42.00. Proposals for the establishment of an inter-institutional Research Centre should be submitted to the Senate Committee on Planning by the Vice-President Research in consultation with the Vice-President Academic and Provost. The submission by the Vice-President Research should include an assessment of the priority that should be accorded the proposed area of interdisciplinary research within the context of the university's strategic plan.

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43.00. Proposals should include detailed information on the following items where applicable:

a. **Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the university's priorities and goals**

b. **An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre**

c. Evidence that there exists with the university a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate in projects it will sponsor or undertake

d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan

e. A statement outlining the benefits to the university and society of the proposed centre

44.00. An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established in consultation with the Vice President Research (or equivalent) from participating institutions.

45.00. The organizational structure and governance of an inter-institutional Research Centre will include a multi-institutional steering committee with representation from all participating faculties, Vice President Research or their delegates, and other relevant stakeholders, and other committees as required.

Review of Inter-Institutional Research Centres

46.00. The review will be initiated by the Vice President Research 12 months in advance of the expiry of the current term and must include a formal review of the Research Centre's activities during the preceding term.

47.00. At the end of the inter-institutional Research Centre's term, the Vice President Research will recommend, in consultation with the Vice President Academic and Provost, continuation or closure of the Research Centre to the Senate Committee on Planning for final approval by the Board of Governors.

48.00. A formal review and recommendation for continuation (for a five-year term) or closure should be conducted during the final year of the centre's mandate and submitted to the Vice President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

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~~49.00. A panel shall be established for the review, consisting of one internal and two external members appointed by the Vice-President Research in consultation with the Director (or equivalent) of the centre. The Vice-President Research will appoint the Chair, who will normally be an external member.~~

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~~50.00. No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate.~~

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~~51.00. Prior to the review the Research Centre, in consultation with the Vice-President Research, will prepare a self-assessment report. The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.~~

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~~52.00. For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the Guidelines for the Review of Research Centres.~~

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~~53.00. The panel shall satisfy itself that the self-assessment report has included contributions from the Research Centre staff, colleagues affiliated with the centre, students associated with the activities of the centre, and clients served, if appropriate.~~

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~~54.00. The panel shall prepare a detailed report on the Research Centre and its activities, and make a recommendation on its continuation or closure or a conditional continuation of the centre not to exceed two years. During that time a further review of the centre's activities will be conducted under the direction of the Vice-President Research. A Research Centre can be given only one conditional continuation.~~

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~~55.00. The panel report shall be forwarded to the Vice-President Research and Vice-President Academic and Provost who will in turn relay it to the Director (or equivalent) of the centre for a written response to the issues raised in the report.~~

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~~56.00. The Vice-President Research, in consultation with Vice-President Academic and Provost, shall make a recommendation regarding the Research Centre's continuation, as well as any terms and conditions that are appropriate, taking into account the panel report.~~

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~~56.01. The panel report, together with the recommendation of the Vice-President Research, shall be forwarded to the Chair of the Senate Committee on Planning for consideration by the Committee.~~

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~~56.02. The Committee will forward its recommendation to the Senate who will make a recommendation on the continuation of the Research Centre to the Board of Governors.~~

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Renaming of a Research Centre

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21.00 For a Research Centre to change its name, the Director must prepare a proposal outlining the rationale for a new name. This proposal is submitted to the Administrative Authority for approval before submission to the Approving Authority.

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22.00 Once the proposal for a name change is approved by the Approving Authority, the Research Centre Director will distribute the proposal to members of the Research Centre or other internal or external stakeholders, and solicit letters of support in favour of the new name. Letters must be on official letterhead of the member's unit or institution, and addressed to the Approving Authority.

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23.00 The Director will forward all letters of support to the Administrative Authority for completion of the approval and notification process, as required in Table 41.

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Closure of a Research Centre

24.00 In exceptional circumstances, a Centre may be closed before the end of its current term, with the agreement of the Administrative Authority and the Director after consultation with faculty members in the Centre.

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25.00 When a Research Centre is to be closed, the Director (or the person to last serve in that position) shall be responsible for coordinating the appropriate and orderly closure of the Centre, including but not limited to completion or termination of research activities and projects in the Centre, resolution of financial matters, disposition of infrastructure (including computers) and other physical resources (e.g. furnishings), archiving of management records, and proper handling of research resources including archiving of research data, records, and research results as required by University or funding agency policy.

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26.00 The Vice-President Research shall notify Senate and the Board of Governors of any closures in the annual report on Research Centres.

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AUTHORITIES AND OFFICERS

- i) Procedural Authority: Board of Governors
- ii) Procedural Officer: Vice-President Research

RELATED POLICIES AND DOCUMENTS
[Related Policies and Documents](#)
[Duties and Responsibilities of Directors of Research Centres policy GV0715](#)
[Establishment, and Review, and Closure of Research Centres policy RH8300](#)
[Procedures for Appointment and Review of Research Centre Directors GV0705](#)
[Guidelines for the Review of Research Centres](#)



University
of Victoria

SUBMISSION TO THE UVIC BOARD OF GOVERNORS

FOR DECISION

January 14, 2019

To: Operations and Facilities Committee

From: David Castle, Vice-President Research 

cc: President and Vice-Chancellor

Meeting Date: January 29, 2019

Subject: Revised Procedures for the Appointment and Reappointment of Centre Directors

Basis for Jurisdiction: Policy on University Policies and Procedures (GV0100)

Strategic Relevance: The Policy on University Policies and Procedures (GV0100) guides the development and review of university policies and procedures. In accordance with this policy and as part of the regular policy review cycle, the Office of the Vice President Research has undertaken a review of several policies that fall under the authority of the Vice-President.

Previous Consultation: UVic Senate January 11, 2019

Recommendation:

THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the revised Procedures for the Appointment and Reappointment of Centre Directors, effective immediately.

Background:

The procedures have been simplified considerably for ease of reference and application, however no changes to the authority assigned through the procedures is proposed. Changes are summarized as follows:

- A table has been added to clarify the Administrative and Approving Authorities for all types of Centres. This table is referenced throughout the document in order to simplify the explanation of processes and procedures.
- Clause added for naming Alternate Committee members, in the case that a Committee member must resign before the interview process commences.
- Clause added to clarify the attendance requirement for Committee members.
- The explanation of the appointment process has been simplified, as reporting and notification requirements are now provided in the new table. The information is presented according to the stages of the appointment process rather than according to the type of Centre.

Planned Further Action: Review of the procedures in 2025.

Attachment(s): Draft Procedures for the Appointment and Reappointment of Centre Directors GV0705, January 2019 (clean and tracked changes versions).

Procedures for the Appointment and Re-appointment of Research Centre Directors

University Policy No: GV0705

Classification: Governance

Approving Authority: Board of Governors (on the recommendation of Senate)

Effective Date: January 2019

Supersedes: December 2011

Last Editorial Change:

Mandated Review: January 2026

Purpose

- 1.00 The purpose of these procedures is to provide direction on the processes for the appointment, or review and re-appointment, of directors (or equivalent) of research centres at the University of Victoria.

Preliminaries

- 2.00 The processes in these procedures provide for flexibility in their application commensurate with the type, breadth of activity, and composition of the research centre.
- 3.00 For the purposes of these procedures, the Administrative Authority and Approval Authority for research centres are as shown in the following table where the types of research centres are as defined in the [Establishment, Review, and Closure of Research Centres Policy \(and Associated Procedures\)](#):

Type of Research Centre	Administrative Authority	Approving Authority
Intra or inter-faculty	Dean of centre director's home faculty	Vice-President Research
Multi-faculty or multi-institutional	Vice-President Research	President

- 4.00 Upon establishment of a new research centre or at a reasonable time prior to the end of the incumbent's term as director of an existing research centre, the Administrative Authority will strike an Appointment Committee ("the Committee") made up of the representatives from the research centre's academic constituencies and other stakeholders, including external representatives, as appropriate. The Committee will be chaired by the appropriate Administrative Authority (or designate). Normally, the Committee will have 6 to 10 members.
- 4.01 Where possible, alternates will be identified who may be asked to serve when a member needs to resign from the Committee before it begins to formally interview candidates. Alternates cannot be added after this point as each Committee member must be in a position to weigh the merits of each candidate prior to making a recommendation.
- 5.00 The University of Victoria is committed to employment equity. Where possible, selection committees should include diverse representation from women, Indigenous peoples, persons

with disabilities, visible minorities, people of all sexual orientations and genders, and others who may contribute to the diversification of the Committee.

General Committee Responsibilities

- 6.00 Committee members are expected to attend the Committee's meetings and must participate in interviews. A Committee member who is not able to meet these expectations shall resign from the Committee and an alternate may be appointed in accordance with section 4.01.
- 7.00 Before the selection process begins, the Committee shall:
- a. acquaint itself with human rights requirements, and university equity and diversity policies;
 - b. familiarize itself with best practices for conducting fair and equitable search and selection processes;
 - c. include equity issues in its consideration of criteria for the position; and
 - d. take steps to widen the pool of qualified applicants to include equity group members listed above.
- 7.01 The Chair of the Committee is encouraged to consult Equity and Human Rights for advice and support in running a fair and equitable search process.
- 7.02 Position advertisements shall include the university's current employment equity statement. Candidates from the designated groups should be encouraged for the director position.
- 8.00 Before considering the incumbent for reappointment or beginning a search, the Committee shall review the [Duties and Responsibilities of Directors of Research Centres Policy \(GV0715\)](#) and establish the requirements for the position as well as the criteria by which candidates for the position will be assessed. Research centre members, staff, associated faculty, external associates, and any other relevant constituents may be consulted in establishing the requirements and criteria. The requirements and criteria shall be made available to anyone interested in the position including the incumbent.
- 9.00 Normally, a research centre Director shall not serve more than two consecutive five-year terms. If the incumbent indicates she or he wishes to be considered for re-appointment, the Committee shall decide whether to invoke re-appointment procedures or proceed directly to a search.

Search Procedures

- 10.00 A search will normally be instituted by the Committee in the following circumstances:
- a. in order to appoint the inaugural director of a newly established research centre;
 - b. if the incumbent of an existing research centre does not wish to be re-appointed; or
 - c. if the incumbent of an existing research centre has served two consecutive terms.
- 11.00 An open search shall be restricted to tenured faculty members at the University of Victoria unless otherwise authorized by the Approval Authority.

- 12.00 The Committee Chair, in consultation with the Committee, will develop an appropriate search process, which will include:
- a. preparing a position posting highlighting the requirements for the position as established in section 7.00;
 - b. developing interview questions;
 - c. determining how the Committee will make its decision on recommending a candidate (e.g., by simple majority vote, etc.);
 - d. developing an appropriate selection and interview process that will include at least:
 - reviewing curriculum vitae and other relevant documentation;
 - short-listing candidates if required;
 - reference checking if deemed necessary by the Committee;
 - a public presentation by short-listed candidates on their vision for the research centre;
 - meetings with research centre members, governance/advisory committees, students, faculty, and other stakeholders; and
 - a Committee interview with each of the short-listed candidates.
- 13.00 Deliberations of the Committee shall be confidential. A person who has breached confidentiality shall be subject to sanction by the chair up to and including dismissal from the Committee and forfeiture of constituency representation. Committee members should respond to general questions on the Committee's progress by referencing procedural decisions of the Committee as recorded in the minutes. At no point is it appropriate to refer to opinions or comments expressed at meetings of the Committee.
- 14.00 The personal information of the incumbent and director candidates shall be managed and protected in accordance with the *Freedom of Information and Protection of Privacy Act*, and the university's [Protection of Privacy \(GV0235\)](#) and [Records Management \(IM7700\)](#) policies and associated procedures.
- 15.00 Documentation containing personal information received by the Committee during its deliberations is confidential and shall be used or disclosed only for the purpose for which the information was collected or a purpose consistent with the original collection purpose. All other uses or disclosures of such information require the consent of the incumbent or candidate.
- 16.00 Members of the Committee shall be responsible for seeking information from their constituencies and keeping constituencies apprised of the non-confidential aspects of the appointment process.
- 16.01 The Committee Chair will guide Committee members with respect to consultations with their constituencies.
- 17.00 The Committee shall keep a summary record of its decisions and action. Deliberations of the Committee concerning candidates, including the incumbent, shall not be recorded in the summary record.

Re-appointment Procedures

- 18.00 If, after reviewing the criteria established for the position, the incumbent elects to stand for a consecutive term, the Committee shall determine whether or not to recommend the re-appointment by using the process set out in section 19.00.
- 19.00 The Committee will develop an appropriate re-appointment process in accordance with the principles of proportionality. The process shall include:
- a. consultation with research centre members, staff, associated faculty, external associates, and any other relevant constituents;
 - b. a presentation by the incumbent on his or her vision for the research centre;
 - c. meetings with the incumbent, research centre members, governance/advisory committees, students, faculty, and others as required;
 - d. reference checking if deemed necessary by the Committee;
 - e. an interview; and
 - f. determination of how the Committee will make its recommendation decision to re-appoint the incumbent (e.g., by simple majority vote, ratification, etc.).
- 20.00 The past performance of the incumbent shall be assessed in the context of the University of Victoria's Strategic Research Plan. Material to be examined by the Committee would normally include:
- a. a self-assessment completed by the incumbent including a statement of past performance against the purposes, objectives, and goals of the research centre and planned future goals and activities;
 - b. the incumbent's updated curriculum vitae;
 - c. the criteria established as part of the search process;
 - d. the criteria and objectives established for the research centre director at the time of first appointment;
 - e. the internal and external evaluations of the research centre; and
 - f. the results of consultation with constituency groups and referees.
- 21.00 Normally a review should take no longer than six weeks. During the period of assessment, the Committee must ensure that the ability of the incumbent to discharge the duties and responsibilities of the position is not undermined by the process.
- 22.00 The incumbent must be advised of the measures to be used for assessment, the individuals and constituency groups the Committee plans to consult, and the schedule for each stage of the process.
- 23.00 If the Committee's decision is to not recommend the re-appointment of the incumbent, the incumbent shall be advised as soon as possible by the Committee Chair.
- ### **Ratification**
- 24.00 A ratification process is normally used for appointments of new research centre directors and re-appointments of an incumbent director. However, ratification may be waived if at least 60% of the faculty members of the research centre served on the selection committee and they were unanimous in recommending the appointment or re-appointment.

25.00 If ratification is required, the Committee shall determine, by secret ballot, the acceptability of its recommendation. Ballots and a copy of the candidate's curriculum vitae shall be made available to the faculty members of the research centre by the office of the Administrative Authority. Normally, ratification shall be 60% of votes cast; however, in the case of smaller research centres, the Committee may rule, prior to consideration of the incumbent or any call for nominations, that ratification shall be a majority vote.

Approval

26.00 If the Committee's recommended candidate is ratified, the Committee will provide a written recommendation with a detailed rationale for the recommendation and the ratification results to the Administrative Authority.

27.00 If the Administrative Authority accepts the Committee's recommendation, the Administrative Authority shall present his/her recommendation together with the Committee's recommendation and the ratification results to the Approving Authority.

28.00 When the Approving Authority has approved the appointment / re-appointment:

- a. If a ratification was conducted, the results shall be published.
- b. There shall be a meeting between the Administrative Authority and the proposed research centre director to discuss any issues arising from the selection process as they relate to the mandate for the Centre.
- c. A letter of appointment / re-appointment shall be prepared by the Administrative Authority, stating the term and any arrangements, including financial commitments, agreed to by the parties.
- d. The appointment / re-appointment shall be communicated by the Administrative Authority to constituents of the research centre, the broader university community, and external entities and institutions as appropriate.
- e. Arrangements for finalizing the appointment / re-appointment will be dealt with through the office of the Administrative Authority responsible for the research centre. See the Guidelines for the Appointment and Re-appointment of Research Centre Directors for more detailed instructions.

29.00 If the Approving Authority does not approve the appointment / re-appointment, the Approving Authority and Administrative Authority shall discuss what measures to take which may include reopening a search or initiating a new search with a new Committee.

Appointment of an Interim Director

30.00 If necessary, including in the situation where the Centre Director goes on leave, the Administrative Authority may request that the Approving Authority appoints an Interim Director to serve normally for no longer than twelve months. A ratification will not normally be conducted for the appointment of an Interim Director.

Authorities and Officers

31.00 The authorities and officers for this policy are:

- i) Approving Authority: Board of Governors (on the recommendation of Senate)
- ii) Designated Executive Officer: Vice-President Research

- iii) Procedural Authority: Board of Governors
- iv) Procedural Officer: Vice-President Research

RELATED POLICIES AND DOCUMENTS

[Duties and Responsibilities of Directors of Research Centres Policy \(GV0715\)](#)

[Establishment, Review, and Closure of Research Centres Policy \(RH8300\)](#)

[Guidelines for the appointment and re-appointment of research centre directors](#)

[Signing Authority Policy \(FM5100\)](#)

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[Procedures for the Appointment and Re-appointment of Research Centre Directors](#)
PROCEDURES FOR THE APPOINTMENT AND RE-APPOINTMENT OF RESEARCH CENTRE DIRECTORS

University Policy No: GV0705

Classification: Governance

Approving Authority: Board of Governors (on the recommendation of Senate)

Effective Date: ~~December, 2011~~ **January 2019**

Supersedes: ~~January, 2010~~ **December 2011**

Last Editorial Change:

Mandated Review: ~~January, 2017~~ **January 2026**

Purpose

1.00 The purpose of these procedures is to provide direction on the processes for the appointment, or review and re-appointment, of directors (or equivalent) of research centres at the University of Victoria.

PROCEDURES

~~The processes provided in these procedures are intended to be flexibly applied according to the principles of proportionality. The administrative requirements, approval and renewal processes, breadth of activities, and other aspects of research centres occur along a continuum that is proportionate to the breadth of their academic constituencies. This proportionality is primarily based on the location of the majority of the membership and activities of the centre and approximately parallels a department faculty university structure. In brief, proportionality refers to the use of an appointment or review and re-appointment process that corresponds with the relative complexity and resources of the research centre.~~

~~For the purposes of these procedures, the academic administrator for an intra-faculty and inter-faculty research centre (as defined in the university Procedures for the Establishment and Review of Research Centres) is the Dean of the home faculty of the research centre director. The academic administrator for multi-faculty and inter-institutional research centres is the Vice-President Research.~~

Composition of the appointment Committee

PRELIMINARIES

2.00 The processes in these procedures provide for flexibility in their application commensurate with the type, breadth of activity, and composition of the research centre.

~~1.003.00~~ For the purposes of these procedures, the Administrative Authority and Approval Authority for research centres are as shown in the following table where the types of research centres are as defined in the [Establishment, Review, and Closure of Research Centres Policy \(and Associated Procedures\)](#):

<u>Type of Research Centre</u>	<u>Administrative Authority</u>	<u>Approving Authority</u>
<u>Intra or inter-faculty</u>	<u>Dean of centre director's home faculty</u>	<u>Vice-President Research</u>
<u>Multi-faculty or multi-institutional</u>	<u>Vice-President Research</u>	<u>President</u>

4.00 Upon establishment of a new research centre or at a reasonable time prior to the end of the incumbent's term as director of an existing research centre, the ~~academic administrator with responsibility for the centre (Dean or Vice-President Research)~~ Administrative Authority will strike an Appointment Committee (~~hereinafter referred to as~~ "the Committee") made up of the representatives from the research centre's academic constituencies and other stakeholders, including external representatives, as appropriate. The Committee will ~~normally~~ be chaired by the appropriate ~~academic administrator~~ Administrative Authority (or designate). Normally, the Committee will have 6 to 10 members.

~~1.014.01~~ Where possible, alternates will be identified who may be asked to serve when a member needs to resign from the Committee before it begins to formally interview candidates. Alternates cannot be added after this point as each Committee member must be in a position to weigh the merits of each candidate prior to making a recommendation.

5.00 The University of Victoria is committed to employment equity. Where possible, selection committees should include diverse representation from women, Indigenous peoples, persons with disabilities, visible minorities, people of all sexual orientations and genders, and others who may contribute to the diversification of the Committee. ~~Similarly, candidates from the designated groups should be encouraged for the Director position. During the selection process, the Committee should:~~

~~GENERAL COMMITTEE RESPONSIBILITIES~~General Committee Responsibilities

~~2.006.00~~ Committee members are expected to attend the Committee's meetings and must participate in interviews. A Committee member who is not able to meet these expectations shall resign from the Committee and an alternate may be appointed in accordance with section 4.01.

~~3.007.00~~ Before the selection process begins, the Committee shall:

- a. acquaint itself with human rights requirements, and university equity and diversity policies;
- b. familiarize itself with best practices for conducting fair and equitable search and selection processes;
- c. include equity issues in its consideration of criteria for the position; and
- d. take steps to widen the pool of qualified applicants to include equity group members listed above.

~~3.01~~ Position advertisements shall include the university's current employment equity statement.

~~7.01~~ The Chair of the Committee is encouraged to consult the Equity and Human Rights Office or the Office of the Vice President Academic for advice and support in running a fair and equitable search process.

~~7.02~~ Position advertisements shall include the University's current employment equity statement. Candidates from the designated groups should be encouraged for the director position.

~~8.00~~ Before considering the incumbent for reappointment or beginning a search, the Committee shall review the Duties and Responsibilities of Directors of Research Centres Policy (GV0715) and establish the requirements for the position as well as the criteria by which candidates for the position will be assessed. Research centre members, staff, associated faculty, external associates, and any other relevant constituents may be consulted in establishing the requirements and criteria. The requirements and criteria shall be made available to anyone interested in the position including the incumbent.

~~9.00~~ Normally, a research centre Director shall not serve more than two consecutive five-year terms. If the incumbent indicates she or he wishes to be considered for re-appointment, the Committee shall decide whether to invoke re-appointment procedures or proceed directly to a search.

~~SEARCH PROCEDURES OF THE COMMITTEE~~Search Procedures RESPONSIBILITIES AND PROCEDURES OF THE COMMITTEE

~~4.0010.00~~ An open search will normally be instituted by the Committee in the following circumstances:

- a. in order to appoint the inaugural director of a newly established research centre;
- b. if the incumbent of an existing research centre does not wish to be re-appointed; or
- c. if the incumbent of an existing research centre has served two consecutive terms.

~~5.00~~11.00 An open search shall be restricted to tenured faculty members at the University of Victoria unless otherwise authorized by the Approval Authority.

~~6.00~~12.00 The Committee Chair, (the pertinent Dean or Vice President Research or designate), in consultation with the Committee, will develop an appropriate appointment search process, in accordance with the principles of proportionality related to the size, complexity and constituencies of the research centre. The process normally which will include:

- ~~a. p~~Preparing a position posting highlighting the requirements for the position as established in section 7.00; Establishing a Committee representative of the main constituencies;
- ~~b. a.~~ Preparation of search documents including a position posting, selection criteria and position description, in accordance with the duties and responsibilities set out in the *Duties and Responsibilities of Research Centre Directors Policy (GV0715)*;
- ~~c. b. d~~Developing of interview questions;
- ~~d.~~ Review of curriculum vitae;
- ~~e.~~ Consultation with research centre members, staff, associated faculty, external associates and any other relevant constituents; and
- ~~c. d~~Determining of how the Committee will make its decision on recommending of a candidate (e.g., by simple majority vote, ratification, etc.);
- ~~d.~~ Developing an appropriate selection and interview process that will include at least:
- ~~f.~~

~~6.01~~ The process may also include:

- ~~r~~Reviewing curriculum vitae and other relevant documentation;
- ~~s~~Short-listing of candidates if required;
- ~~r~~Reference checking if deemed necessary by the Committee;
- ~~a~~A public presentation by short-listed candidates on their vision for the research centre;
- ~~m~~Meetings with research centre members, governance/advisory committees, students, faculty, and other stakeholders; and
- ~~r~~Reference checking; and
- ~~F~~ormal ratification by the faculty members of the research centre a Committee interview with each of the short-listed candidates.

~~7.00~~13.00 Deliberations of the Committee shall be confidential. A person who has breached confidentiality shall be subject to sanction by the chair up to and including dismissal from the Committee and forfeiture of constituency representation. Committee members should respond to general questions on the Committee's progress by referencing procedural decisions of the Committee as recorded in the minutes. At no point is it appropriate to refer to opinions or comments expressed at meetings of the Committee.

~~8.00~~14.00 The personal information of the incumbent and director candidates shall be managed and protected in accordance with the *Freedom of Information and Protection of Privacy Act*, and the university's *Protection of Privacy (GV0235)* and *Records Management (IM7700)* policies and associated procedures.

~~9.00~~15.00 Documentation containing personal information received by the Committee during its deliberations is confidential and shall be used or disclosed only for the purpose for which the

information was collected or a purpose consistent with the original collection purpose. All other uses or disclosures of such information require the consent of the incumbent or candidate.

~~10.00~~16.00 Members of the Committee shall be responsible for seeking information from their constituencies and keeping constituencies apprised of the non-confidential aspects of the appointment process.

~~10.01~~16.01 The Committee Chair will guide Committee members with respect to consultations with their constituencies.

~~11.00~~17.00 The Committee shall keep a summary record of its decisions and action. Deliberations of the Committee concerning candidates, including the incumbent, shall not be recorded in the summary record.

~~12.00 The process of ratifying the Committee's recommendation, as detailed in sections 31.00 and 32.00 of these procedures, may not be required if at least 60% of the faculty members of the research centre serve on the Committee and the Committee members were unanimous in recommending the appointment. The Committee is responsible for determining whether ratification should occur.~~

~~13.00 The recommendation for the candidate put forward by the Committee shall be in the form of a report to the Vice-President Research (for intra-faculty and inter-faculty research centres) or to the President (for multi-faculty and inter-institutional research centres) and shall include recommendations for action and a rationale for the Committee's recommendation.~~

~~13.01 If the Vice-President or President decides to offer the appointment to a candidate for whom ratification was conducted, the results of the ballot shall be published.~~

RESPONSIBILITIES AND PROCEDURES OF THE VICE-PRESIDENT RESEARCH AND DEAN

~~14.00 When the Vice-President Research or President has approved the appointment, and the successful candidate has accepted, there shall be a meeting between the relevant academic administrator (Dean or Vice-President Research) and the new research centre director to discuss any issues arising from the appointment process as they relate to the mandate for the next term. A letter of appointment should be prepared by the relevant academic administrator, stating the term and any remuneration arrangements agreed to by both parties.~~

~~15.00 Signing authority for research centre accounts needs to be established by the relevant academic administrator of the centre (Dean or Vice-President Research) for the director, using the Delegation of Signing Authority form. Refer to the Signing Authority policy FM5100 for more information. The "one-over-one" for directors of intra-faculty and inter-faculty research centres is the Dean of the director's home faculty. The "one-over-one" for directors of multi-faculty and inter-institutional research centres is the Vice-President Research.~~

~~16.00~~ **Once approved, the appointment should be communicated to constituents of the research centre and the broader university community and external institutions as appropriate.**

~~17.00~~ **Arrangements for finalizing the appointment of the successful candidate will be dealt with through the office of the relevant academic administrator responsible for the research centre (Dean or Vice President Research). See the Guidelines for the appointment and re-appointment of research centre directors for more detailed instructions.**

RE-APPOINTMENT PROCEDURES OF THE COMMITTEE Re-appointment Procedures

~~18.00~~ If there is an incumbent who has only served a single term, the Committee shall decide whether to invoke re-appointment procedures or proceed directly to an open search. Normally, a research centre Director shall not serve more than two five year terms.

~~19.00~~ 18.00 If, after reviewing the criteria established for the position, the incumbent elects to stand for a consecutive term, the Committee shall determine whether or not to recommend the re-appointment by using the process set out in section 19.00.

~~20.00~~ 19.00 The Committee will develop an appropriate re-appointment process in accordance with the principles of proportionality. The process ~~may~~ shall include:

- a. consultation with research centre members, staff, associated faculty, external associates, and any other relevant constituents;
- b. a presentation by the incumbent on his or her vision for the research centre;
- c. meetings ~~between~~ with the incumbent, research centre members, governance/advisory committees, students, faculty, and others as required;
- d. reference checking if deemed necessary by the Committee;
- e. an interview; and
- f. determination of how the Committee will make its recommendation decision to re-appoint the incumbent (e.g., by simple majority vote, ratification, etc.).

~~21.00~~ 20.00 The past performance of the incumbent shall be assessed in the context of the University of Victoria's ~~future research directions~~ Strategic Research Plan. Material to be examined by the Committee would normally include:

- a. a self-assessment completed by the incumbent including a statement of past performance against the purposes, objectives, and goals of the research centre and planned future goals and activities;
- b. the incumbent's updated curriculum vitae;
- c. the criteria established as part of the search process;
- d. the criteria and objectives established for the research centre director at the time of first appointment;
- e. the internal and external evaluations of the research centre; and
- f. the results of consultation with constituency groups and referees.

~~22.00~~21.00 Normally a review should take no longer than six weeks. During the period of assessment, the Committee must ensure that the ability of the incumbent to discharge the duties and responsibilities of the position is not undermined by the process.

~~23.00~~22.00 The incumbent must be advised of the measures to be used for assessment, the individuals and constituency groups the Committee plans to consult, and the schedule for each stage of the process.

~~24.00~~23.00 If the Committee's decision is to not recommend the re-appointment of the incumbent, the incumbent shall be advised as soon as possible by the Committee Chair.

~~25.00~~ **The process of ratifying the Committee's recommendation, as detailed in sections 31.00 and 32.00, may not be required if at least 60% of the faculty members of the research centre serve on the selection committee and they were unanimous in recommending the appointment. The Committee is responsible for determining whether ratification should occur.**

~~26.00~~ **The recommendation for re-appointment shall be in the form of a report to the Vice-President Research (for intra-faculty and inter-faculty research centres) or to the President (for multi-faculty and inter-institutional research centres) including recommendations for action and a rationale for the Committee's choice.**

~~26.01~~ **If the Vice-President Research or President decides to offer the re-appointment to a candidate for whom ratification was conducted, the results of the ballot shall be published.**

~~27.00~~ **When the Vice-President Research or President has approved the re-appointment, and the incumbent has accepted, there shall be a meeting between the relevant academic administrator (Dean or Vice-President Research) and the re-appointed research centre director to discuss any issues arising from the re-appointment process as they relate to the mandate for the next term. A letter of re-appointment should be prepared by the academic administrator, stating the term and any remuneration arrangements agreed to by both parties.**

~~28.00~~ **Once approved, the re-appointment should be communicated to constituents of the research centre, the broader university community, and external institutions as appropriate.**

~~29.00~~ **Arrangements for finalizing the re-appointment of the incumbent will be dealt with through the office of the appropriate academic administrator responsible for the research centre. See the Guidelines for the appointment and re-appointment of research centre directors for more detailed instructions.**
RATIFICATION
Ratification

~~30.00~~24.00 A ratification process is normally used for appointments of new research centre directors and re-appointments of an incumbent director. However, ratification may be waived if at least

60% of the faculty members of the research centre served on the selection committee and they were unanimous in recommending the appointment or re-appointment.

~~31.00~~25.00 If ratification is required, the Committee shall determine, by secret ballot, the acceptability of its recommendation. Ballots and a copy of the candidate's curriculum vitae shall be ~~distributed~~ made available to the ~~regular~~ faculty members of the research centre by the ~~relevant Dean's office of the Administrative Authority~~. Normally, ratification shall be 60% of votes cast; however, in the case of smaller research centres, the Committee may rule, prior to consideration of the incumbent or any call for nominations, that ratification shall be a majority vote.

APPROVAL-Approval

26.00 If the Committee's recommended candidate is ratified, the Committee ~~chair shall present the Committee's~~ will provide a written recommendation with a detailed rationale for the recommendation and the ratification results to the ~~Vice-President Research or the President, as an attachment to the recommendation mentioned in sections 14.00 and 27.00~~ Administrative Authority. If the Vice-President Research or President decides to offer the reappointment to the incumbent and the incumbent accepts, the ratification ballot results shall be published.

27.00 If the Administrative Authority accepts the Committee's recommendation, the Administrative Authority shall present his/her recommendation together with the Committee's recommendation and the ratification results to the Approving Authority.

28.00 When the Approving Authority has approved the appointment / re-appointment:

- a. If a ratification was conducted, the results shall be published.
- b. There shall be a meeting between the Administrative Authority and the proposed research centre director to discuss any issues arising from the selection process as they relate to the mandate for the Centre.
- c. A letter of appointment / re-appointment shall be prepared by the Administrative Authority, stating the term and any arrangements, including financial commitments, agreed to by the parties.
- d. The appointment / re-appointment shall be communicated by the Administrative Authority to constituents of the research centre, the broader university community, and external entities and institutions as appropriate.
- e. Arrangements for finalizing the appointment / re-appointment will be dealt with through the office of the Administrative Authority responsible for the research centre. See the Guidelines for the Appointment and Re-appointment of Research Centre Directors for more detailed instructions.

~~32.00~~29.00 If the Approving Authority does not approve the appointment / re-appointment, the Approving Authority and Administrative Authority shall discuss what measures to take which may include reopening a search or initiating a new search with a new Committee.

APPOINTMENT OF AN ACTING INTERIM DIRECTORAppointment of an Interim Director

~~30.00~~ If necessary, including in the situation where the Centre Director goes on leave, the academic administrator/Administrative Authority may request that the President/Approving Authority appoints an Acting-Interim Director to serve normally for no longer than twelve months, until a new director can be appointed. To appoint an acting director follow the processes in sections 14.00-18.00 of these procedures. A ratification will not normally be conducted for the appointment of an Interim Director.

~~AUTHORITIES AND OFFICERS~~ **Authorities and Officers**

~~33.00~~ The authorities and officers for this policy are:

~~34.00~~

~~35.00~~ ~~31.00~~ ~~AUTHORITIES AND OFFICERS~~

- i) Approving Authority: Board of Governors (on the recommendation of Senate)
- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Board of Governors
- iv) Procedural Officer: Vice-President Research

RELATED POLICIES AND DOCUMENTS

[Establishment and Review of Research Centres Policy \(RH8300\)](#)

[Procedures for the Establishment and Review of Research Centres \(RH8300\)](#)

[Duties and Responsibilities of Directors of Research Centres Policy \(GV0715\)](#)

[Establishment, Review, and Closure of Research Centres Policy \(RH8300\)](#)

[Guidelines for the appointment and re-appointment of research centre directors](#)

[Signing Authority Policy \(FM5100\)](#)

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