



University  
of Victoria

**Board and Board Committee Meetings**  
**Monday September 28 and Tuesday September 29, 2020**

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Open Session  
Tuesday September 29, 2020  
12:30 p.m. - 1:30 p.m.  
Via Videoconference

**DRAFT AGENDA**

**1. Approval of Agenda**

**MOTION:**

*THAT the agenda of the open session of the regular meeting of September 29, 2020 be approved.*

**2. Approval of Summary Record of the Meeting held June 30, 2020 (attached)**

**MOTION:**

*THAT the summary record of the open session of the regular meeting held June 30, 2020 be approved.*

**3. Business Arising from the Summary Record**

**4. Chair's Remarks**

**5. Correspondence**

**a. Faculty Association**

**b. S. Ertizman**

**c. F. Hogan**

**d. Students Demanding Change**

**e. Kukpi7 S. Loring**

**6. President's Report**

**7. External Relations Update**

BOG-Sep29/20-18

**CONSENT**

**8. Operations and Facilities Committee (Mr. Merle Alexander)**

**a. Status Report on Capital Projects**

BOG-Sep29/20-07a

**9. Executive and Governance Committee (Ms. Cathy McIntyre)**

**a. Joint Senate Board Retreat Committee Appointments**

**MOTION:**

*THAT the Board of Governors appoint Merle Alexander, Katherine Fairley, and Marilyn Callahan to the Joint Senate Board Retreat Committee for 2020-2021.*

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

**REGULAR**

**10. Audit Committee (Dr. David Zussman)**

**a. PSAS - Government Reporting Entity Forecast Report – period ending June 30, 2020**

BOG-Sep29/20-14

**MOTION:**

*THAT the Board of Governors approve the budget and associated forecast prepared for inclusion in the reporting on the 2020/21 University of Victoria Consolidated financial statements in accordance with the Public Sector Accounting Standards, as per Schedule A including a deficit for this year of \$28.1M, subject to Ministerial approval.*

**11. Finance Committee (Ms. Carolyn Thoms)**

**a. 2020/21 Budget Expenditure Allocation Report**

BOG-Sep29/20-02a

**b. Working Capital Investments Report – to June 30, 2020**

BOG-Sep29/20-04

**12. Operations and Facilities Committee (Mr. Merle Alexander)**

**a. Bamfield Accident – Response to External Report and Status Update**

BOG-Sep29/20-09

**b. Strategic Framework Implementation Report 2019/20**

BOG-Sep29/20-20

**c. Annual Academic Staffing, Recruitment and Vacancies Report**

BOG-Sep29/20-16

**d. 2021/22 Five Year Capital Plan**

BOG-Sep29/20-08

**MOTION:**

*THAT the Board of Governors approve the 2021/22 Five Year Capital Plan.*

**e. VP Research Portfolio Update**

**f. Equity and Human Rights Annual Report**

BOG-Sep29/20-19

**13. Executive and Governance Committee (Ms. Cathy McIntyre)**

**a. Procedures of the Board 2020/21**

BOG-Sep29/20-24

**MOTION:**

*THAT the Board of Governors approve the Board Procedures, as attached, for the year 2020/21 and the Statement of Responsibilities of the Board of Governors and its Members.*

**b. Review and Approval of Board Governance Checklist**

BOG-Sep29/20-25

**MOTION:**

*THAT the Board of Governors approve the posting of the updated board governance checklist, as circulated, on the university's website for 2020/21 as part of UVic's accountability framework.*

**14. Other Business**

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

**Adjournment**



University  
of Victoria

## Board and Board Committee Meetings Monday June 29 and Tuesday June 30, 2020

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Open Session

Tuesday June 30, 2020 11:00 a.m.

Via Videoconference

### DRAFT SUMMARY RECORD

**Present:** Ms. Beverly Van Ruyven (Chair), Mr. Merle Alexander, Mr. Keith Barbon, Mr. Rizwan Bashir, Dr. Elizabeth Borycki, Prof. Jamie Cassels, Ms. Daphne Corbett, Dr. Peter Driessen, Ms. Isabella Lee, Ms. Cathy McIntyre, Ms. Eslam Mehina, Ms. Shelagh Rogers, Ms. Carolyn Thoms, Dr. David Zussman, Ms. Carrie Andersen (Secretary)

**By Invitation:** Ms. Gayle Gorrill, Mr. Chris Horbachewski, Dr. Lisa Kalynchuk, Ms. Kimberley Kennard, Dr. Valerie Kuehne

**Regrets:** Dr. Marilyn Callahan

**1. Approval of Agenda**

**MOTION:** (C. McIntyre/C. Thoms)

*THAT the agenda of the open session of the regular meeting of June 30, 2020 be approved.*

**CARRIED**

**2. Approval of Summary Record of the Meeting held May 26, 2020 (attached)**

**MOTION:** (D. Corbett/D. Zussman)

*THAT the summary record of the closed session of the regular meeting held May 26, 2020 be approved.*

**CARRIED**

**3. Business Arising from the Summary Record**

There was none.

**4. Chair's Remarks**

Ms. Van Ruyven thanked the six members whose terms were ending for their service on the Board.

**5. Correspondence**

There was none.

**6. President's Report**

Prof. Cassels began by thanking all Board members for their engagement, oversight and support during the year.

### Bamfield Bus Accident Report

Prof. Cassels stated that a report by an independent consultant regarding the tragic bus accident last September had been completed. He said the university had received the report and accepted all recommendations. Prof. Cassels acknowledged the magnitude of the tragedy, and said the university was deeply sorry to the families of the students who passed away and to the other students and their families for what they went through and the ongoing impact. Prof. Cassels said the university had never experienced an incident of that magnitude and complexity. While all involved did their best to respond to the accident and support students, the university knew there would be learnings regarding the response. The university engaged an independent expert consultant to conduct a review regarding both the conduct of field trips and the university's response to critical incidents. Prof. Cassels outlined the process undertaken to complete the review and summarized the recommendations. He confirmed that all 43 recommendations had been accepted by the university and that work was underway on implementation.

### COVID-19

Prof. Cassels stated that the province has moved into Phase III of the BC Restart plan. At the University of Victoria, internal planning templates have been developed for research and return to work in offices and other specialized areas, while waiting for the sector-wide safe work plan.

### Academic Planning

The first term (September – December 2020) and second term (January – April 2021) academic planning timetable was released on June 9, 2020 and course registration has begun. The majority of undergraduate course are being offered online for first term, with a few exceptions for courses where hands-on learning opportunities cannot be effectively replicated in an online environment. Some graduate courses will also be offered on campus.

### Online Teaching Platforms

The university has procured a new learning management platform called Brightspace for fall 2020 implementation. Brightspace will replace the current CourseSpaces.

### Racism On and Off Campus

Prof. Cassels reported that he had released a statement in early June acknowledging the need to combat racism in all its forms. He outlined some of the steps being taken by the university to pursue that commitment.

### Government Relations

Prof. Cassels reported on work taking place in collaboration with other post-secondary institutions, the South Island Prosperity Partnership and municipalities to develop a coordinated plan to emerge from the COVID crisis.

Prof. Cassels reported on recent interactions with the provincial and federal governments, including a presentation regarding budget, and regular calls regarding post-secondary plans in the context of COVID-19. He recently met with the Minister of Indigenous Relations and Reconciliation and the Minister of Transport to provide a briefing on the Bamfield accident report and to advocate for safety improvements on that road. Prof. Cassels said he also recently participated in a federal/provincial roundtable on housing affordability.

There were no questions for Prof. Cassels.

### **7. External Relations Update**

BOG-June30/20-17

Chris Horbachewski, Vice-President External Relations provided highlights from the report which included the drive-in movie events on campus, partnerships with health care authorities to support student musical performances outside care homes, the Great Indoors, and work the team at the Farquhar Auditorium is doing to position the venue for use through high definition streaming on multiple platforms.

There were no questions for Mr. Horbachewski.

## **CONSENT**

### **8. Finance Committee (Dr. David Zussman)**

#### **a. MBA Tuition Fees Change**

BOG-June30/20-18

##### **MOTION:**

*THAT the Board of Governors approve the new MBA fee structure as proposed, to be effective for the fall term 2020.*

#### **b. Change to Collection & Remission of Fees for the University of Victoria Students' Society (UVSS)**

BOG-June30/20-14

##### **MOTION:**

*THAT the Board of Governors collect and remit the fees as approved by the UVSS members and as outlined in the letter of June 10, 2020 from the Director of Outreach and University Relations of the UVSS to Jim Dunsdon, Associate Vice-President Student Affairs.*

**c. Collection & Remission of Fees for the Graduate Students' Society (GSS)** BOG-June30/20-27

**MOTION:**

*THAT the Board of Governors collect and remit health and dental fees for the GSS in 2020/21 as outlined in the letter of June 15, 2020 from Stacy Chappel, Executive Director of the GSS to Gayle Gorrill, Vice-President Finance and Operations.*

**d. University of Victoria Staff Pension Plan 2019 Report to Members and Financial Statements** BOG-June30/20-02

**e. University of Victoria Staff Pension Plan Strategic Plan, Triennial Plan Assessment, and Compliance Report** BOG-June30/20-03

**f. University of Victoria Staff Pension Plan Investment Performance Report for the Period Ended March 31, 2020** BOG-June30/20-04

**9. Operations and Facilities Committee (Ms. Daphne Corbett)**

**a. Status Report on Capital Projects** BOG-June30/20-09a

**b. Due Diligence Reports 2019** BOG-June30/20-10

***Pro Forma Motion:*** (D. Zussman/E. Mehina)

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

**CARRIED**

**REGULAR**

**10. Finance Committee (Dr. David Zussman)**

**a. Financial Implications of COVID - 19** BOG-June30/20-07a

Dr. Zussman provided an update on UVic's initial response to COVID-19. He stated that there continues to be significant uncertainty with respect to the negative financial implications of COVID-19 and outlined some of the contributing factors. Dr. Zussman said the planned budget approach has been developed to maintain as much flexibility as possible. He reviewed some of the initial strategies being used to address budget shortfalls, including use of carry forwards and equipment reserves, and budget allocation and hiring delays. He noted that across the board budget cuts are not proposed at this time. He said current strategies address what the university hopes will be relatively short term implications. Dr. Zussman acknowledged that the University has been significantly impacted by the COVID-19. It has changed how the university teaches, learns, conducts research and undertakes all activities.

The Board has had extensive discussions on the challenging financial implications and will continue to stay engaged over the summer and into the fall.

**b. 2019/20 Year End Management Statements and Budget Review**

BOG-June30/20-05

Dr. Zussman reminded Board members that at the May meeting the Board approved the externally audited financial statements of the University prepared in accordance with Public Sector Accounting Standards. The financial statements presented at this meeting are prepared in accordance with fund accounting, which reflects how the university manages its resources.

Gayle Gorrill, Vice-President Finance and Operations provided highlights from the report.

**c. Statement of Financial Information for the year ended March 31, 2020**

BOG-June30/20-06

Dr. Zussman noted this is a regular statement required by the provincial government and published in accordance with the requirements of the Financial Information Act.

**MOTION:** (D. Zussman/D. Corbett)

*THAT the Board of Governors approve the Statement of Financial Information for the year ended March 31, 2020 and that the Chair of the Board of Governors and the Vice-President Finance and Operations be authorized to sign on the Board's behalf.*

**CARRIED**

**d. Working Capital Investment Policy Update, FM5200**

BOG-June30/20-08

Dr. Zussman introduced the proposed policy revisions. He noted that this is step two in updating the university's policies on investments for the working capital pool. The first step was the approval of the Responsible Investment Policy in January. Revisions to the Working Capital Investment Policy, formerly named the Short Term Investment Policy, allow the university to move forward with the goals outlined in the Responsible Investment policy, particularly the ability to implement impact investments.

Dr. Zussman said that, in order to inform the development of the policy, the university undertook modeling of the portfolio to investigate the type of investments that could be added without substantially changing the risk portfolio while increasing the rate of the return to better protect the pool against inflation. He reviewed the proposed revisions to the policy.

**MOTION:** (D. Zussman/C. Thoms)

*THAT the Board of Governors approve the revised Working Capital Investment Policy (formerly Short-Term Investment Policy) FM5200, to be effective immediately.*



**CARRIED**

**11. Operations and Facilities Committee (Ms. Daphne Corbett)**

**a. 2019/20 University of Victoria Institutional Accountability Plan and Report** BOG-June30/20-24

Ms. Corbett introduced the annual report.

**MOTION:** (D. Corbett/I/ Lee)

*THAT the Board of Governors approve the 2019/20 University of Victoria Institutional Accountability Plan and Report*

*And*

*THAT the Board of Governors authorize the Board Chair and the President to make any final edits to the 2019/20 University of Victoria Institutional Accountability Plan and Report prior to its submission to the Ministry.*

**CARRIED**

**12. Other Business**

a) Review of action items identified

There were no action items.

b) Any other business

There was none.

**Adjournment**

There being no other business, the meeting was adjourned at 11:38 a.m.

## OFFICE OF THE UNIVERSITY SECRETARY

Michael Williams Building, Room A138 | PO Box 1700 STN CSC Victoria BC V8W 2Y2

Phone: 250-721-8100 | Email: [univsecretary@uvic.ca](mailto:univsecretary@uvic.ca)

DATE: September 14, 2020

TO: Board of Governors

FROM: Carrie Andersen, University Secretary



RE: Correspondence Received - Anti-Racist Initiatives

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Attached please find a letter from Dr. Lynn Marks, President, University of Victoria Faculty Association. Dr. Marks requested that this letter be shared with the Board of Governors at its next meeting.

## **UVIC FA CALLS FOR ANTI-RACIST INITIATIVES BY THE UNIVERSITY ADMINISTRATION**

Developed with the FA Equity Committee and leaders of the FA Indigenous Faculty Committee and unanimously supported by the FA Executive Committee, June 2020

1. Given the seriousness of the issue of racism on campuses across Canada, the FA urges the university to develop and conduct extensive climate surveys related to experiences of racism and other forms of inequality and exclusion on the UVic campus. The FA requests that separate surveys be created and conducted for faculty, staff and students. Faculty Association representatives must be involved in the development of the faculty survey, and we encourage the university to involve staff union representatives in the development of the staff climate survey, and student union representatives in the development of the student climate survey.
2. These surveys will only lead to meaningful change in combatting racism, colonialism and other forms of inequality and injustice if the university commits to taking significant and concrete action in response to results of the surveys.
3. As part of the action emerging from the surveys, the FA urges that major commitments be made to improve the climate for Black, Indigenous and People of Colour (BIPOC) faculty across campus, so that UVic becomes a more welcoming place for BIPOC faculty. Once there has been a documented improvement in this climate, the FA urges the university to provide funding for cluster hires (which would be limited hires) to significantly increase the number of Black faculty members on campus.
4. The FA requests the elimination of the presence of police on campus and the end to their routine patrolling around campus. We request that police street checks and carding not happen on campus, and we ask that the administration speak out against these practices beyond campus. We ask that the police only be called to campus in emergency situations. Limiting the presence of police on campus to emergency situations would create more safety for Indigenous, Black and Persons of Colour faculty, staff and students.
5. We request that the university develop a list of anti-racist resources (this work to be done by EQHR and LTSL, with FA representation in the development of these resources). These resources should be made available and accessible to all faculty, staff and students.
6. We request that the University develop and implement equity and anti-bias training for Campus Security.

7. We strongly urge the university to follow the lead of many other Canadian and American universities and hire both a VP Equity and a VP Indigenous, to ensure that these issues have strong advocates and leaders within the UVic administration. We also strongly urge the administration and the Board of Governors to prioritize the hiring of more diverse senior administrators.
8. We ask the university to immediately set up a university-wide Equity Committee, with robust representation from all staff unions, student societies and the FA, as well as from representatives from BIPOC faculty, staff and students on campus. To ensure the relevance and impact of this committee, it must be chaired either by the President or the VP Academic. The recommendations of this committee should be circulated to the university community, responded to by the administration in a timely manner, and if not implemented, a clear justification for not implementing them provided by the senior administration to the committee and the larger university community.



July 3, 2020

Dr. Lynne Marks  
President  
UVic Faculty Association

Dear Lynne,

I am writing to respond to the list of anti-racist initiatives that the UVic Faculty Association is asking the university administration to address.

I am very supportive of identifying and implementing ways to improve the climate for Black, Indigenous and People of Colour across campus.

You will have seen from my recent letter to our colleagues that there are a number of important anti-racism initiatives underway. I can provide you with some additional information about upcoming work that is planned related to the suggestions raised by the Faculty Association.

First, I understand that the office of Equity and Human Rights is indeed developing a proposal for a broad-reaching climate survey. As a first step, they will spend some time researching what other institutions have been doing in this regard. As you copied EQHR on the correspondence, I encourage you to connect with Cassbreea at the appropriate point in this project. The learnings from that survey will provide guidance for future initiatives, including some of your other suggestions regarding new vice presidents and advisory bodies.

I'm sure you understand that fundamental changes to the makeup of the senior executive and our governance structures should be left to the next president and only undertaken after considerable consultation, including with Senate and the Board. I will ensure that the Faculty Association suggestions are included in the transition materials for the new president. In the meantime, you may be aware that EQHR is working with senior administration, and will be consulting with stakeholders, on the development of a university-wide equity advisory structure. And we remain committed to implementing good hiring practices for the upcoming searches for the Provost, Vice-Provost and other senior hires, including considering the strengths candidates bring in relation to anti-racism, anti-oppression and, more broadly, advancing equity diversity and inclusion.

I understand that Campus Security is working with EQHR to have all their staff participate in anti-racism training by end of July, and the entire team has been trained to respond to sexualized violence disclosures. As I expect you know, the University cannot dictate to the

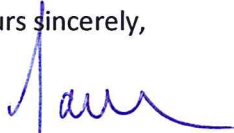


Saanich or Oak Bay police forces how they are to do their work on our campus. They are mandated by municipal law.

Finally, I appreciate the need for a comprehensive list of anti-racism, anti-oppression, and feminist resources, particularly academic offerings that can be made available to all faculty, staff and students. I am very supportive of this initiative.

I encourage you and your Faculty Association colleagues to partner with the university in the work that is needed to improve the climate on campus.

Yours sincerely,



Jamie Cassels, QC  
President and Vice-Chancellor



## OFFICE OF THE UNIVERSITY SECRETARY

Michael Williams Building, Room A138 | PO Box 1700 STN CSC Victoria BC V8W 2Y2

Phone: 250-721-8100 | Email: [univsecretary@uvic.ca](mailto:univsecretary@uvic.ca)

DATE: September 14, 2020

TO: Board of Governors

FROM: Carrie Andersen, University Secretary



RE: Correspondence Received

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Attached please find a letter from Suha Ertizman. Personal information has been redacted to protect privacy.

**From:** REDACTED

**Sent:** July 6, 2020 3:45 PM

**Subject:** Board meeting request

**Notice:** This message was sent from outside the University of Victoria email system. Please be cautious with links and sensitive information.

To whom it may concern;

I'm writing to you in regards to my frustration with the international student fees currently being implemented at UVIC. My son is currently happy to be studying REDACTED at UVIC, with a very high GPA.

He always speaks highly of his professors, and has made life long friends.

My issue is as follows; REDACTED

I have seen that universities such as UBC, SFU, Waterloo, U of T, and McGill, all charge domestic student fees if the student is a dependent of a parent who holds a long term work permit in Canada.

I understand that the university itself sets the tuition guidelines, and I would like to request that this matter be brought up in the next board meeting, and hopefully, this policy to be changed.

I have no choice but to consider removing him from UVIC, and sending him to any of the above-mentioned schools with the preferred tuition fees.

And also please check the attached files regarding this issue.

Regards,  
Suha Ertizman



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Phone: 250-721-8100 | Email: [univsecretary@uvic.ca](mailto:univsecretary@uvic.ca)

DATE: September 14, 2020

TO: Board of Governors

FROM: Carrie Andersen, University Secretary



RE: Correspondence Received – Divestment Movement at UVic

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Attached please find a letter from F. Hogan.

July 8, 2020

Board of Governors  
University of Victoria  
PO Box 1700 STNCSC  
Victoria BC  
V8W2Y2

Dear UVic:

Some very good questions and how unpleasant to have to ask them:

- "Regarding the the divestment movement at UVic - a university that claims sustainability and reconciliation leadership - why have petitions, sit-ins and successful votes by faculty and students gone nowhere?
- Could it be due to the influence the industry and their financiers wield on UVic's governing boards? This influence might also help explain why UVic risks becoming something of an outlier, so committed to investing in fossil fuel companies even while those investments are losing millions of dollars.
- Even though the university UVic lost \$4 million on its Canadian fossil fuel investments between March 2018 and March 2019.
- Even before COVID-19, UVic's fossil energy *this true?*
- y investments were delivering a **-17 (minus seventeen)** per cent rate of return." ???

The community around you cannot help but wonder. Many in it would prefer to see you leading the chorus rooting **for** the environment during these worrisome times, rather than continuing to support an industry from which many banks/institutions are removing their financial support; not to mention its role in climate change and environmental disruption.

Why not match USC's positive efforts in this regard? Your community would be so proud again of our otherwise wonderful University of Victoria.

  
f. hogan

REDACTED

## OFFICE OF THE UNIVERSITY SECRETARY

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Phone: 250-721-8100 | Email: [univsecretary@uvic.ca](mailto:univsecretary@uvic.ca)

DATE: September 14, 2020

TO: Board of Governors

FROM: Carrie Andersen, University Secretary



RE: Correspondence Received – Decrease UVic Tuition

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Attached please find a letter requesting a decrease for UVic Tuition received July 8, 2020.

Dear Board of Governors of UVic,

Nationwide, post-secondary tuition has been steadily climbing, including the University of Victoria's (UVic) tuition inflating annually. In 2015/2016 UVic tuition rates for a full-time undergraduate student for two semesters were \$5,476, by 2019/2020 these have increased to \$5,696. Approximately 70.46% of students in Victoria that participated in a Lotay and McGovern (2017) study, reported yearly income that placed them below the national low-income cut-off. Despite the growing student loan debt and student poverty, tuition rates continue to increase and it is time this issue is addressed.

In March the UVic Board of Governors decided to approve another increase in student tuition, despite the financial barriers that would occur for students due to COVID-19. It was said,

"Increased student fees reflect increases of two per cent for domestic students; four per cent for international graduate students; four per cent for international undergraduate students who enrolled before April 2018 (grand-parented at a lower increase) and 15 per cent for international undergraduate students enrolled after April 2018" (The University of Victoria, 2020).

This was announced amidst the COVID-19 outbreak, with a complete disregard for the financial, physical, and emotional experiences of current and upcoming undergraduate and graduate students.

In the following months when online classes were being solidified for summer and fall, no news of lowering tuition was released. Due to the global pandemic, the majority of undergraduate and graduate courses at UVic continue to be limited to online distance learning. These have been argued to be a different learning experience than in-person, on-campus classes, and should not be held to the same financial cost.

It is time for mass reform with university tuition, especially during these times when financial well-being will continue to be compromised as the world prepares for the second wave of COVID-19.

Education is meant to be equitable and accessible, and post-secondary institutions should be responsive to the current climate of the world and the needs of those attending these institutions. Instead, in its current state it only serves those who have the financial means and privilege to

access it. It further cements barriers to education for those without the financial means and continues the separation of classes and the oppression of marginalized groups.

This petition demands the Board of Governors to lower the tuition of online courses to half the cost of on-campus course tuition. Furthermore, to lower the domestic and international student tuition to a cost seen by students to be affordable and accessible by all. Since 'affordability' is a flexible term, defining what affordable and accessible UVic tuition would look like requires dialogue with the UVSS and student representatives of varying backgrounds. It is paramount that a diversity of students are acknowledged within this decision, so that the cycle of institutional oppression can be broken.

Creating additional bursaries, scholarships, and grants could be counter-argued as an alternative to decreasing tuition. This would be beneficial to implement in lieu of lowering tuition, due to the barriers associated with applying and being approved for bursaries, scholarships, and grants. Lowering tuition for all students addresses the main financial barrier and will create the biggest impact for students' financial, physical, and emotional well-being.

Sincerely,

Students demanding change

## OFFICE OF THE UNIVERSITY SECRETARY

Michael Williams Building, Room A138 | PO Box 1700 STN CSC Victoria BC V8W 2Y2

Phone: 250-721-8100 | Email: [univsecretary@uvic.ca](mailto:univsecretary@uvic.ca)

DATE: September 14, 2020

TO: Board of Governors

FROM: Carrie Andersen, University Secretary



RE: Correspondence Received – University of Victoria Support of Tiny House Warriors

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Attached please find a letter from Kukpi7 Shelly Loring and the response that was sent on August 26, 2020.



# Simpchw First Nation

July 17, 2020

BY EMAIL: [usec3@uvic.ca](mailto:usec3@uvic.ca)

Beverly Van Ruyven, Chair  
Board of Governors  
University of Victoria

Dear Ms. Van Ruyven:

## Re: University of Victoria Support of Tiny House Warriors

It has come to the attention of the Simpcw Chief and Council that the University of Victoria (“**University**”), **a publicly funded institution**, is supporting the Tiny House Warrior’s unlawful occupation of sites within Simpcwúl’ecw (Simpchw Territory) by permitting students and faculty members to construct “tiny houses” for the use and benefit of the Tiny House Warriors on University grounds.

We write this letter to inform you that the Tiny House Warriors are not welcome on Simpcw lands, and have no jurisdiction or authority in Simpcwúl’ecw. We are calling on the University to immediately cease all actions that purport to assist the Tiny House Warriors in their illegal occupation of Simpcw lands.

The Tiny House Warriors wrongfully claim, the authority to occupy Simpcw lands. Blue River and Moonbeam Creek are located squarely within Simpcw Territory. The occupation of those sites and assertions of authority over same are in violation of Secwépemc Laws and Customs.

Simpchw is a division of the Secwépemc. While the Secwépemc People are united by a common language and similar culture and belief system, each Secwepemc Division, or “Campfire,” recognizes and asserts its own territorial boundaries within the larger Secwépemcúl’ecw.

Our respective tribal boundaries and jurisdiction are well-established and recognized by all Secwépemc Divisions pursuant to the resolution of the Shuswap Nation Tribal Council passed in 2011, which recognizes and affirms the validity of each Division’s territorial boundary. This resolution recognizes the historical and traditional boundary of each Secwépemc Division/Campfire, according to “the use of historical maps and ethnographic and historical records such as the James Teit map, to determine with greater accuracy the boundaries of the Divisions”. It is well established that each Secwépemc Division/Campfire has the authority and jurisdiction to govern within its territorial boundary.

Furthermore, on June 22, 2012, the Secwépemc Nation entered into a Unity Declaration acknowledging “our respective responsibilities to protect and exercise our inherent title and rights”; “affirm our mutual respect for each others’ mandates to continue to advance the interests of the Secwepemc within Secwépemcúl’ecw and to the world either by way of litigation or negotiation with the settler’s government”; and “declare our support of each other’s respective rights, obligations, responsibilities, mandates and areas of jurisdiction within Secwépemcúl’ecw based on principles of trust and goodwill”.

Pursuant to this jurisdiction, and in accordance with our governing processes, Simpcw has consented to Trans Mountain LP constructing and operating the Trans Mountain Expansion Project (“**Project**”) within our territorial boundary. We respect the positions taken by other Secwépemc Divisions on the Project and fully acknowledge that each Division has the responsibility and jurisdiction to make their own decision. However, we take exception to any other group speaking on behalf of our lands. Simpcw has never ceded, sold or surrendered our Title and Rights, nor have we ever delegated responsibility or authority to any other group (Tiny House Warriors or otherwise) to speak on behalf of our Lands or our People.

Furthermore, the Tiny House Warriors are not “peacefully” occupying our Lands. In fact, Simpcw condemns the actions of the Tiny House Warriors, who have taken threatening, aggressive and harassing actions towards our People working on the Project. This is completely unacceptable to Simpcw and our People working in the North Thompson Valley near Blue River, Valemount and Clearwater.

We take exception to the University supporting trespassers in the occupation of our Lands, and where we oppose such occupation. The Tiny House Warriors have no right to occupy our Lands or utilize our Lands to further their political agenda. We find the University’s actions to be contradictory to the statement of Jamie Cassels, President of the University Victoria, as follows:

*“...As part of our commitment to reconciliation we’re building better and meaningful partnerships with Indigenous communities, developing new programs, and working to bring our university into better harmony with Indigenous cultures, beliefs and ways of being. Indigenous people and communities are an important part of building our university for the future.” UVic President Jamie Cassels*  
(Indigenous Focus – Homepage)

We also note the Mandate Letter dated February 26, 2020 from Minister Melanie Mark and signed on March 30, 2020 by Board Chair Beverly Van Ruyven which states:

*“Every public sector organization is accountable to the citizens of British Columbia. The expectations of BC citizens are identified through their elected representatives, the members of the Legislative Assembly.” Paragraph 3 Page 1*



*“Two key priorities that will underpin lasting prosperity are advancing reconciliation with Indigenous People and moving towards a low-carbon economy. Paragraph 2 and 3, Page 2*

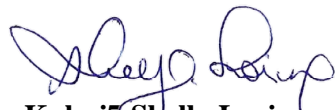
*In November 2019, government passed the Declaration on the Rights of Indigenous People Act, which represents a crucial step towards true and lasting reconciliation.....all public sector organizations are asked to incorporate the Declaration on the Rights of Indigenous People Act, and Calls to Action of the TRC within their specific mandate and context.”*

*Goal #1 Support lasting reconciliation with Indigenous Peoples, through initiatives that increase the participation and success of Indigenous learners and implementation of the education-related Calls to Action of the TRC.*

We expect an institution of such caliber to “do its homework” before taking such action. We can confirm that no one representing the University reached out to us to get our position on the matter. We would have expected this to be the first step in the University’s consideration of supporting this unlawful cause.

We trust this provides clarity on the matter. We ask you take immediate action to cease all construction of “tiny houses” for the Tiny House Warriors. We look forward to hearing from you in a timely manner, and we thank you in advance for your cooperation and swift movement to resolve this very concerning matter.

Kukwstsemc,



**Kukpi7 Shelly Loring**  
Simpw

**Cc** Minister Melanie Marks Minister of Advanced Education & Skills Training ([AEST.Minister@gov.bc.ca](mailto:AEST.Minister@gov.bc.ca))

Jamie Cassels, President University of Victoria ([Pres@uvic.ca](mailto:Pres@uvic.ca))

August 26, 2020

Kukpi7 Shelly Loring  
Simpco First Nation  
7555 Dunn Lake Road  
P.O. Box 220  
Barriere, BC V0E 1E0

Dear Kukpi7 Shelly Loring,

**Re: Correspondence regarding the Tiny House Warriors**

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This letter is to acknowledge that my office, on behalf of the Board of Governors, has received your letter dated July 17, 2020. Thank you for bringing your concerns to the attention of the university and the Board. I have provided your letter to the Chair of the Board, Cathy McIntyre, as well as individuals on campus responsible for space booking. I have copied Kirsten McMenemy, Director, Student Life on this letter. Kirsten can provide further information regarding the procedures and policies that guide space booking on campus. These procedures and policies were used to book space in 2018 and 2019 for the construction of a tiny house.

I have confirmed that there is no ongoing activity on campus that is associated with the Tiny House Warriors.

Sincerely,



Carrie Andersen,  
University Secretary

cc. Kirsten McMenemy, Director, Student Life ([osldirector@uvic.ca](mailto:osldirector@uvic.ca))



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR INFORMATION**

September 17, 2020

**To:** Board of Governors

**From:** Chris Horbachewski, Vice-President External Relations

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** External Relations Update

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A handwritten signature in blue ink, likely belonging to Chris Horbachewski.

In support of UVic's Strategic Framework, External Relations connects UVic and the world around it by enhancing and promoting the UVic Edge, by building relationships, seeking resources, and building community to support and enhance the University of Victoria. 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**

**Supporting Communications for University Initiatives**

- The new uvic.ca combined central website launched on August 5, the result of more than 2.5 years of effort by a broadly representative, 25-member project leadership team and hundreds of contributors on and off campus. Using an industry-leading web governance tool, the new site receives an A+ rating overall, placing us in the top 5% of all websites worldwide.

A governance framework is under development to support continuous improvement and prioritize the work of implementing the new approach to the university's web presence at the unit/area level. Work on the Graduate Studies and Research areas is already underway.

- [The Great Indoors](#) continues to showcase impactful research, arts and culture, and so much more being generated by UVic faculty, staff and alumni to entertain, educate and engage our audiences. There is also the steady stream of videos being produced such as:
  - introducing the [new uvic.ca central site](#),
  - answering questions for students who were trying to [decide about residence this fall](#),
  - exciting and inspiring prospective and returning students about the online learning experience at UVic as part of an informal "[Inspiration Campaign](#)" and addressing concerns about [safety and apprehensions about online learning](#).
  - targeting [prospective Engineering students](#)
  - flagging the successes of [UVic's Sustainability Action Plan](#)
  - explaining [what to expect at UVic](#) this fall

The videos are being distributed through UVic's communications channels and via Student Recruitment networks. Watch for the soon to be unveiled "This is UVic" channel on YouTube in the near future.

### **Providing Internal Supports**

- The 2020-21 [undergraduate student view book](#), one of the university's flagship publications, is now available. The publication, a partnership production between UC+M and Student Recruitment, is a great example of how to mobilize our unique UVic Edge to position the university for key audiences, in this case prospective students.

### **Building Profile and Presence**

- Planning has been initiated for a fall 2020 advertising campaign targeting prospective undergrad students in key recruitment regions across Canada. The campaign will include a specific sub-campaign focused on engineering and computer science students. It will launch in mid-late October.
- A revised positioning strategy, currently in draft form, has been developed to support university communication priorities during the pandemic. It will be nimble and responsive to changes and input from within our external and internal environments.
- While the Board received a comprehensive report of media coverage in May 2020, it's worth noting prominent coverage received throughout the summer. This represents a small fraction of overall stories on UVic from early June through August 2020 and includes two significant leadership appointments. The news focus on COVID-19 was particularly keen, with the handful below only a sample of all UVic coverage on the array of topics.
  - UVic's announcement of the appointment of Dr. Kevin Hall as President-designate was picked up by the *Times Colonist*, CTV Vancouver Island, CBC Victoria and CFAX Radio, as well as in a national story by Canadian Press carried by more than 25 outlets including *The Province*, CBC News and Yahoo! News Canada.
  - The appointment of Ry Moran (Libraries) as Associate University Librarian—Reconciliation also captured media interest, with a story on the front page of the *Times Colonist*, broadcast clips airing on multiple radio stations, an article by the *Winnipeg Free Press* and the Canadian Press story picked up by more than 100 outlets including CBC News, *Toronto Star*, *National Post*, *Vancouver Sun* and *The Province*.

- Mary Kerr (Theatre) was awarded a national prize for her visionary theatrical designs and contributions to culture – the first designer in history to be named a Molson Prize laureate. The news was picked up locally by the *Times Colonist*, CTV Vancouver Island and *Monday Magazine*, and Kerr was also interviewed on CBC Radio’s weekend morning show in BC, “North by Northwest.”
- On a more somber note, the university’s implementation of important changes for field trips after the tragic bus accident last September on the road to Bamfield received extensive media attention, with a national story by the Canadian Press picked up online by *Vancouver Sun*, *The Province* and more than 100 other outlets. The *Times Colonist* ran a story on its front page and news on the review was also covered by regional television and radio stations, including Global BC, CHEK News, CFAX and CBC Radio in Victoria and Vancouver.
- With the increase in alcohol consumption during the COVID-19 pandemic, many media outlets featured Adam Sherk and Timothy Stockwell of the Canadian Institute for Substance Use Research calling for updates to Canada’s national drinking guidelines. The coverage included *The Globe and Mail*, CTV Vancouver, *New York Post*, *Science Times*, CBC Toronto, CBC Calgary and CBC Vancouver.
- *The Globe and Mail* and Canadian Press featured Ocean Networks Canada’s Richard Dewey (Earth and Ocean Sciences) on how quieter oceans due to lower sea traffic (during COVID) is allowing for rare study of sounds to mark the return of the southern resident killer whales to the Salish Sea.
- Alex Brolo (Chemistry/CAMTEC) spoke to CBC TV’s “The National” and many other outlets about a home-based COVID screening test using saliva samples, while Heather Buckley (Civil Engineering) explained to CTV’s “Your Morning” how wastewater can hold clues to the geographical presence of COVID. Both projects reflect UVic’s new Research Accelerator Fund that seeks to boost research for COVID recovery efforts.
- CBC News, the *Conversation Canada* and *The Province* featured experts on health and social inequalities exacerbated by COVID. Bernie Pauly (Nursing/Canadian Institute for Substance Use Research) highlighted the increase in homeless populations and risks of rising alcohol consumption. Debra Sheets (Nursing) illuminated the need for essential visits for older individuals, while Kelli Stajduhar (Nursing/Institute on Aging and Lifelong Health) weighed in on how COVID has exposed critical vulnerabilities in the country’s long-term care homes.
- Rob Gillezeau (Economics) spoke to CBC News, CBC Radio, *Times Colonist* and Vice News and also commented for US and UK media including National Public Radio, *Washington Post*, *The New Yorker* and *The Economist* about his preliminary research on the relationship between police unions, collective bargaining and the increase in police violence.

While it fell just outside the reporting period, the \$27.1 million funding announcement for UVic’s National Centre for Indigenous Laws on September 3 received national media coverage. In addition to coverage in the *Globe and Mail*, a Canadian Press article appeared in the front sections of the *National Post*, *Vancouver Sun* and *Times Colonist*, and was also picked up by more than 120 media outlets, including broadcast stations across Canada such as APTN, CBC Radio, and CKNW.

### **Strengthening Connections and Engagement with Community**

- National Orange Shirt Day at UVic will be entirely online this year, with a program available at <https://www.uvic.ca/event/orange-shirt-day/> starting at noon, Sept. 30. The program includes remarks from Dr. Kuehne as well as Chancellor Rogers’ interview with Phyllis Webstad, whose experience at residential school is the inspiration for Orange Shirt Day. Board members can show their support by sharing a photo (horizontal orientation) of themselves wearing an orange shirt on Sept. 30 using the

hashtag #OrangeShirtDayUVic or emailing their photo to [socialmedia@uvic.ca](mailto:socialmedia@uvic.ca). We'll be sharing photos on UVic's Orange Shirt Day website and via social media.

- UC+M is leading the development of a communications and marketing strategy to support the Engineering and Computer Science capital campaign.
- The print edition of the *Ring* campus newspaper returned on September 10, accompanied by new signage about safe community use of campus publication boxes. While the print edition was suspended due to COVID-19 (April–August), the *Campus Checklist* e-newsletter to all faculty and staff was increased to weekly frequency.

### **BUILDING MEANINGFUL PARTNERSHIPS**

Throughout the summer, UVic hosted the Legacy Drive-in theatre, which provided a safe, family friendly entertainment option and supported UVic students with part of the proceeds of every ticket going towards UVic student bursaries. In total \$6,350 was raised over the 41 evenings. The proceeds will help UVic students who are facing economic pressure by providing support for housing, food, mental health services, child care, mentoring, online learning and more. The partnership with the drive-in was part of UVic's efforts to support the community with COVID-19 relief and recovery.

#### **Provincial Government**

On July 27<sup>th</sup>, UVic Vice-President of Finance and Operations, Gayle Gorrill hosted British Columbia Premier John Horgan and the Honourable Melanie Mark, Minister of Advanced Education, Skills and Training for a ceremonial groundbreaking of UVic's new Student Housing Development.

#### **Provincial and Federal Governments:**

On September 3<sup>rd</sup>, BC Minister of Advanced Education, Skills and Training, the Honourable Melanie Mark joined UVic President Jamie Cassels to announce the Province's \$13 million contribution to the National Centre for Indigenous Laws. The Law Foundation of British Columbia announced their \$5 million contribution, and the Honourable Carolyn Bennett, Federal Minister of Crown-Indigenous Relations re-announced the Federal contribution of \$9.1 million.

### **FOSTERING A CULTURE OF PHILANTHROPY**

As of September 1, 2020, \$10.53 million has been raised from 1,558 donors on a goal of \$20 million for the 20/21 fiscal year.

### **CELEBRATING SUCCESS AND EXCELLENCE**

- June Convocation ceremonies did not proceed due to Covid-19 so the Ceremonies team developed an extensive plan with colleagues in EXTR and USEC to honour and celebrate UVic graduates. Diplomas was sent out mid-July and graduates opted-in to receive a Grad Box from UVic to help them celebrate their achievement. The Grad Box contained:
  - parchment (diploma/certificate)
  - printed program
  - mortarboard and tassel
  - alumni pin
  - Faculty specific class of 2020 banner
  - Branded Decals
  - 2- sided Instructional insert (5x7)

- The honouring of our graduates was further enhanced by faculty specific videos with messages from the Chancellor, President and appropriate Dean. Each faculty and faculty cohort was encouraged to work with Ceremonies to develop online virtual “receptions” to celebrate their graduates in a more intimate setting.
- Ceremonies have been assisting in UVic Community Outreach projects like the Legacy Drive In.
- Both groups have been working with Leadership for Arts Sector regionally through ProArt and provincially through BCTC and BCAC. We’ve been working with ActSafe, WorkSafeBC and GVPTA to develop reopening guidelines and templates to support venues and arts organizations around reopening as part of the ReStartBC Plan.

### **ENHANCING COMMUNITY THROUGH CULTURAL AND OTHER ACTIVITIES**

For the months of July, August, and September, Chancellor Shelagh Rogers participated in the recognition of Indigenous graduates and took part in Knowledge Creation, Dissemination, and Preservation Studies (KULA) reviews, in addition to her regular duties participating in the Board of Governor orientation and meetings. Moreover, Chancellor Rogers recorded two new “*Good Company with Shelagh Rogers*” interviews for UVic’s *The Great Indoors* and as part of Orange Shirt Day interviewed with Phyllis Webstad.

#### **Farquhar Auditorium**

- Occupational Health & Safety (OHS) approved the Farquhar’s safe work plan at the beginning of August. The venue has reopened to modified operations including rehearsals, recordings and live-streamed performances. We have hosted three community activities in August and will host over 25 activities in the venue in September. There is strong community interest in using the venue. We have adjusted our rental rates to a simple cost-recovery model for labour and expenses with the intention of making the venue as accessible as possible to both the on and off campus community.

#### **Ceremonies & Events**

- Our Spring Grad Celebration was a success. Most graduates opted to receive a Grad Box from UVic which included their parchment. Supporting the Grad Box initiative, a Grad website featured faculty-specific videos celebrating our graduates and faculties and faculty cohorts held virtual gatherings to further fete our students’ achievements.
- An online satisfaction/feedback survey was distributed to spring graduates. Feedback has been positive with constructive feedback.
- The university recently announced that the Fall Ceremony is cancelled. Plans to celebrate our graduates in November are underway. The celebration will be modelled on the success of our Spring Grad Celebration.
- Ceremonies & Events has assisted in numerous community, government and UVic activities, including:
  - Legacy Drive In
  - Residence announcement
  - MOD Dining facility ribbon-cutting
  - Bamfield media event and memorial planning
  - Community access request processes
  - JID announcement
  - Greater Victoria Regional Arts Awards

#### **Legacy Art Galleries**

Legacy developed a complex **safety plan** that helps us to ensure that both our staff and visitors are safe at the gallery in this challenging Covid-19 environment. Our downtown gallery has been open since June 7 and welcomed patrons to two exhibitions on Indigenous eco-cultural revitalization:

- **To Fish as Formerly** is curated by Dr. Nicholas Claxton, UVic, School of Child and Youth Care (Uvic Alumni, BSc '00, MA '03, PhD '15) and Katie Hughes, UVic Department of History, graduate student (Uvic Alumni, BA '06, MA '20). The exhibition shares the story of the efforts of generations of

WSÁNEĆ people who are revitalizing the belief systems, spirituality, knowledge and practices inherent to the reef net fishery. This exhibition runs June 17 to November 21, 2020.

- **TUKTUUYAQTUUQ (Caribou Crossing)** is new work by artist Maureen Gruben (UVic Alumni, BFA '12) which looks at how tuktu/caribou are integral to Inuvialuit life. This exhibition runs June 17 to November 14.

Legacy Art Galleries upcoming Exhibition is **Life Stories** - December 2, 2020 - April 3, 2021

Curated by Dr. Erin Campbell, UVic, Professor, Art History and Visual Studies (BA, MA, & PhD, University of Toronto). Co-curated by Jaiya Anka, UVic Art History and Visual Studies PhD Candidate (UVic Alumni, MA '17); Holly Cecil (UVic Alumni, BA '16, MA '19). *The Bed Room* Installation by Elly Heise (UVic Alumni, MFA '20).

With artists: Nina Raginsky, Frank Pimentel, IITTAASHTEXAALASH Winona Plenty Hoops, Ulli Steltzer, Maxwell Bates and more.

Art shapes our life stories, our sense of self and our relationships, as we journey through the life stages: Beginnings, Childhood, Coming of Age, Maturity, Later Life, and Passages. Life-stages imagery and objects may inspire memories and reflection, offer comfort, joy, and healing, and foster a sense of belonging. Paintings, drawings, photographs, textiles, ceramics, and furnishings from the university collections evoke a plurality of experiences across the life course.

With COVID-19's restrictions on gatherings we have had to shift the way we do programming and events. In response we have moved to developing on-line offering such as:

- on line [territory acknowledgement](#) with Songhees elder Frank George welcoming visitors to "to Fish as Formerly"
- artist talk videos with Sarah Jim, Colton Hash, and Chazz Elliott
- Exhibition website with extended content for [TUKTUUYAQTUUQ](#)





University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**September 14, 2020**

**FOR INFORMATION**

**To:** OPERATIONS AND FACILITIES COMMITTEE

**From:** VICE-PRESIDENT FINANCE AND OPERATIONS

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

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** STATUS REPORT ON CAPITAL PROJECTS

**Basis for Jurisdiction:** Committee's Terms of Reference

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**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: September 01, 2020

1. Student Health & Wellness Centre
2. Student Housing & Dining
3. National Centre for Indigenous Law

<b>PROJECT:</b>	<b>STUDENT HEALTH &amp; WELLNESS CENTRE</b>
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Project No: 17-03034

Project Consultants: KASIAN Architecture Ltd.

General Contractor: Aral Construction Ltd.

<b>BUDGET STATUS:</b>	<b>APPROVED BUDGET 27-Nov-2018</b>	<b>FMGT Forecast Costs 01-Sept-2020</b>
<b>Consulting</b>	\$390,000	\$390,000
<b>Construction</b>	\$4,610,000	\$4,210,000
<b>Completion</b>	\$1,000,000	\$1,000,000
<b>Contingency</b>	<u>\$200,000</u>	<u>\$200,000</u>
<b>Sub-Total</b>	\$6,200,000	\$5,800,000
<b>GST (1.65%)</b>	<u>\$100,000</u>	<u>\$100,000</u>
<b>TOTAL PROJECT COSTS</b>	<b>\$6,300,000</b>	<b>\$5,900,000</b>

- Total commitments to date of approximately \$5,600,000 represents 95% of the **Revised Approved Budget** of **\$5,900,000\***.

<b>SCHEDULE STATUS:</b>	<b>Target Date 27-Nov-2018</b>	<b>Actual / Forecasted Date 01-Sept-2020</b>
<b>Schematic Design - Complete</b>	April 2018	April 2018
<b>Design Development - Complete</b>	November 2018	November 2018
<b>Construction Documents - Complete</b>	March 2019	May 2019
<b>Tender - Complete</b>	April 2019	July 2019
<b>Construction Phase - Complete</b>	January 2020	June 2020
<b>Commissioning and Warranty - Complete</b>	February 2020	June 2020
<b>Fit-up and Move In - Complete</b>	March 2020	July 2020
<b>Operation - Complete</b>	May 2020	July 2020

#### Major Risks:

- None

<b>PROJECT:</b>	<b>STUDENT HEALTH &amp; WELLNESS CENTRE</b>
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<b>BUDGET COMMENTS:</b>
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- \$6.3M University Funded.
- All costs paid out and reported in FAST to 1-Sept-2020 are \$5,391,437.87.

<b>SCHEDULE COMMENTS:</b>
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- Substantial Completion June 15, 2020.
- Student Wellness Centre Operational July 16, 2020.
- Final deficiency work in progress.

<b>EMERGING ISSUES:</b>
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- None

<b>PROJECT PROGNOSIS:</b>
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- Project is progressing satisfactorily.

Report prepared by:

Trevor Floer  
Associate Director  
Project Management Services, FMGT

<b>PROJECT:</b>	<b>STUDENT HOUSING &amp; DINING</b>
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Project No: 16-02265  
Project Consultants: Perkins + Will Canada Architects  
Construction Manager: EllisDon-Kinetic

<b>BUDGET STATUS:</b>	<b>Approved Budget 28-Apr-2020</b>	<b>FMGT Forecast Costs 2-Sept-2020</b>
<b>Consulting</b>	\$21,000,000	\$21,040,092
<b>Construction</b>	\$194,386,000	\$193,854,123
<b>Completion</b>	\$5,700,000	\$5,899,581
<b>Contingency</b>	\$4,000,000	\$4,292,284
<b>Sub-Total</b>	\$225,086,000	\$225,086,000
<b>GST (1.65%)</b>	\$3,714,000	\$3,714,000
<b>TOTAL PROJECT COST</b>	<b>\$228,800,000</b>	<b>\$228,800,000</b>

- Total commitments to date are \$192,292,001, or 83.2% of the approved Budget of \$228,800,000.

<b>SCHEDULE STATUS:</b>	<b>Target Date 01-Jan-2019</b>	<b>Actual / Forecasted Date 2- Sept-2020</b>
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Construction Documents	<i>Complete</i>	November 2019	December 2019
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#### **Tender Package 01 Early Works – Service Road, Walkway Removals**

Tender	<i>Complete</i>	April 2019	April 2019
Construction Stage	<i>Complete</i>	August 2019	October 2019

#### **Tender Package 02 – Modular Food Services Facility**

Installation	<i>Complete</i>	June 2020	June 2020
Decommission		October 2022	October 2022

#### **Tender Package 03 – Site Services, Abatement, Deconstruction**

Tender	<i>Complete</i>	November 2019	December 2019
Construction Stage		January 2021	January 2021

#### **Tender Package 04 – Construction Building One and Building Two**

Tender	February & July 2020	May & November 2020
Construction Building One (398 beds, Dining)	August 2022	August 2022
Construction Building Two (385 Beds, Conference, Classrooms)	April 2023	February 2023

#### **Major Risks:**

- Schedule risk associated with the opening date of Building One and its alignment with the academic calendar means there is no float available for critical path tasks on the construction schedule. Any impacts such as labour shortages, material lead times, site coordination, design coordination or future COVID-19 impacts have potential to impact Building One's opening date of August 31, 2022. To fully assess the financial impact of a schedule delay, an assessment of the project's financial model will be required.

<b>PROJECT:</b>	<b>National Centre for Indigenous Law</b>
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Project No: F04343

Project Consultants: Two Row Architect

General Contractor: TBD

<b>BUDGET STATUS:</b>	<b>APPROVED BUDGET 31-Mar-2020</b>	<b>FMGT Forecast Costs 30-Sept-2020</b>
<b>Consulting - C1</b>	\$2,800,000	\$2,800,000
<b>Construction - C2</b>	\$18,600,000	\$18,600,000
<b>Completion - C3</b>	\$2,550,000	\$2,550,000
<b>Contingency - C4</b>	\$0	\$1,175,000
<b>Sub-Total</b>	\$23,500,000	\$23,500,000
<b>GST (1.65%)</b>	\$400,000	\$400,000
<b>Escalation</b>	\$2,800,000	\$1,625,000
<b>TOTAL PROJECT COSTS</b>	<b>\$27,150,000</b>	<b>\$27,150,000</b>

- Total Board Approved Budget for the building addition is \$27.15M
- Renovation costs to the existing building, funded through the Ministry's Major Maintenance and Renewal Program, are currently budgeted at \$2.1M and are not included
- Consulting C1 commitments to date include \$1,987,727 in professional fees for both Expansion and Renovation scope of work. Breakout for Expansion fees only to be provided at a later date.

<b>SCHEDULE STATUS:</b>	<b>Target Date 27-Feb-2020</b>	<b>Actual / Forecasted Date 30-Sept-2020</b>
<b>Consultant Selection</b>	May 2020	June 2020
<b>Schematic Design</b>	October 2020	October 2020
<b>Design Development</b>	March 2021	March 2021
<b>Construction Documents</b>	September 2021	September 2021
<b>Tender</b>	November 2021	November 2021
<b>Construction Phase</b>	March 2023	March 2023
<b>Commissioning and Warranty</b>	May 2023	May 2023
<b>Fit-up and Move In</b>	July 2023	July 2023
<b>Operation</b>	August 2023	August 2023

**Major Risks:**

- Forecast Costs may exceed Approved Budget.
- Building Renewals scope has not been defined. Impacts to budget and schedule to be determined.
- Community resistance to tree removals required for the expansion.
- COVID-19 may have impacts on schedule.



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**September 14, 2020**

**FOR DECISION**

**To: Audit Committee**

**From: VICE-PRESIDENT FINANCE AND OPERATIONS**

A handwritten signature in black ink, appearing to be 'G. Smith'.

**cc: President and Vice-Chancellor**

**Meeting Date: September 29, 2020**

**Subject: PSAS GOVERNMENT REPORTING ENTITY FORECAST REPORT - PERIOD  
ENDING JUNE 30, 2020**

**Basis for Jurisdiction: Committee's Terms of Reference 6.1**

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**Strategic Relevance:**

*Strategy 5.5: Ensure financial sustainability of the university and our ability to pursue excellence by optimizing existing resources through careful planning, earning support, attracting partnerships and pursuing a revitalized program to grow and diversify resources through philanthropic and other means.*

**Recommendation:**

*THAT the Audit Committee recommend to the Board of Governors that the Board of Governors approve the budget and associated forecast prepared for inclusion in the reporting on the 2020/21 University of Victoria Consolidated financial statements in accordance with the Public Sector*

*Accounting Standards, as per Schedule A including a deficit for this year of \$28.1M, subject to Ministerial approval.*

**Background:**

Since 2003, B.C. universities have been included in the Government Reporting Entity (GRE) in order to facilitate the consolidation of University Financial Statements into the Public Accounts of the Province.

Inclusion in the GRE requires the filing of two quarterly reports within tight deadlines set by the Office of the Comptroller General. These quarterly reports follow the Public Sector Accounting Standards (PSAS) basis of accounting supplemented with Treasury Board regulations 257/2010 and 198/2011.

The two required reports are the:

- 1) quarterly year to date financial report (actual results) known as Appendix C; and
- 2) forecast report which provides projections of the university's financial statements for the current fiscal year plus the next three years.

The second quarterly reports, as at September 30, 2020, are due to the Province in mid-October. When there are no Board meetings that align with submission deadlines our practice has been to review these reports with the chair of audit, submit to the government per their deadline, then present to the audit committee for review at the next meeting. The Audit Chair as part of this process provides a confirmation email to the Ministry that they have reviewed the forecast and has discussed with management the process and assumptions used to develop the forecasts.

As a result of COVID-19 and its impact on the financial position of the university, the Q1 forecast was advanced to the Audit Committee and the Board in June in order that feedback could be sought on the forecast, including the assumptions used, prior to submission to the Province. The June 30<sup>th</sup> report projected net expenses of \$37.8M. At that time, the Board of Governors approved that management begin the process to request approval from the Minister of Finance and the Minister of Advanced Education, Skills and Training to operate in a deficit position no greater than \$40M for the year ended March 31, 2021.

This September forecast has also been advanced in order to provide an update on the consolidated financial position and to seek approval of the PSAS budget, required for the financial statements. Use of the forecast as the PSAS budget for the financial statements is consistent with the approach used in prior years.

**Year to Date Financial Report (Appendix D)**

The year to date financial report consists primarily of a Statement of Financial Position and a Statement of Operations together with a number of supplementary schedules designed to identify significant inter-company transactions between the university and other government entities. This detail allows the Province to eliminate any duplication of revenue, expense, assets or liabilities in the consolidated Public Accounts.

The figures reported are actual results for the three-month period ending June 30, 2020 with additional analysis and breakdown of inter-company transactions in excess of \$100,000. This report was submitted to government in July. Attached as schedule D is a comparison of the results of Q1 2020 with the result of Q1 of the prior year. Highlights of the report are as follows:

- Expenses exceed revenues at June 30, 2020 resulting in reported net loss of \$22.4M. This compares to a loss of \$17.9M for the three months ended June 30, 2019. Losses are expected for Q1 as the first three months of the fiscal year are low revenue producing months (i.e., Tuition and Ancillary Operations) while expenses are distributed more evenly throughout the year.
- The losses are higher this year, due mainly to an overall reduction in revenue of \$5.8M primarily as a result of COVID-19 offset by a modest reduction in expenses.

### **Forecast Report**

The required Forecast Report consists of a current year forecast plus projections for the next three years - to fiscal 2023/24 for this submission. The report consists of a Statement of Operations (revenues and expenses), a Statement of Financial Position (assets, liabilities and equity) and a Statement of Changes in Financial Position (changes in cash and temporary investments) as prescribed by government. The Q1 forecast, initially submitted in July, is updated for any significant change in assumptions for quarter 2 (October) and also in quarter 3 (January).

The following Table 1 summarizes the updated consolidated forecast for 2020/21 and the coming 3 years:

<b>Table 1 (in thousands)</b>	<b>Forecast/ Budget Estimate 2020/21</b>	<b>Forecast 2021/22</b>	<b>Forecast 2022/23</b>	<b>Forecast 2023/24</b>
<b>Summary - Statement of Operations</b>				
Total Revenue	(579,531)	(635,798)	(677,043)	(693,187)
Total Expenses	607,639	635,020	669,910	692,905
Net (Revenue) Expense	28,108	(778)	(7,134)	(282)
Unallocated Pressures				
Operating Net (Income) Loss for Ministry	28,108	(778)	(7,134)	(282)
Endowment Contributions	16,000	16,000	16,000	16,000
Net (Income) Loss	12,108	(16,778)	(23,134)	(16,282)
<b>Other Key Financial Items</b>				
Capital Asset Additions	\$94,354	\$185,572	\$128,400	\$68,231
Debt	\$82,392	\$163,114	\$160,104	\$153,248



The results shown in the above forecast have been modified for the current year, showing improvements in expected enrolments offset somewhat by increases in incremental expenses resulting in a decline in the deficit from \$37.9 to \$28.1. These changes have modest implications for revenue and expenses for 2021/22 however the net position is consistent with Q1. The forecast for 2022/23 and 2023/24 have not been changed from the Q1 submission.

The above forecast was developed based on the assumptions summarized in Table 2 and detailed in the paragraph following.

<b>Table 2 Key Assumption Summary</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>
Grant Funding (operating grant only - thousands)	\$214,755	\$224,416	\$232,110	\$238,607
Student FTEs (Government Funded)	16,393	16,518	16,593	16,593
Tuition fee increases – domestic and graduate international	2.0%	2.0%	2.0%	2.0%
Tuition fee increases – international undergraduate	3.75%	3.75%	3.75%	3.75%
Ancillary Losses	\$19.3M	Recover 50%	N/A - Recover to 2019/20 level	N/A
Enrolment reductions	1-5% domestic 10-15% Intl	Recover 50%	N/A- Recover remaining 50%	N/A

Key assumptions include:

- Operating grant funding as per 20/21 interim ministry letter and Ministry commitment for technology expansion, JD/JID and nurse practitioner expansion;
- There will be incremental costs in 2020/21 to respond to implications of COVID-19. It is expected that incremental costs in future years will be minimal and/or will be considered as part of the annual budget allocation process from available resources;
- Domestic and international tuition will increase at inflationary rates in the key assumption table above. New international students will pay the revised rates implemented in 2018/19. Assuming usual time to graduation, all international students are expected to pay the revised rates by 2022/23 as all students will be fully grand-parented;
- Compensation costs in accordance with current collective agreements including progression through the ranks and ranges;
- Domestic enrolment will decline by 1-5% in 2020/21 with recovery occurring over the next two years. Enrolment will be back to pre COVID-19 levels in 2022/23;
- International enrolment will decline by 10-15% in 2020/21 with recovery occurring over the next two years. Enrolment will be back to pre COVID-19 levels in 2022/23;
- Ancillary and other revenue generating units will incur net losses for 2020/21 with recovery occurring over the next two years. These areas will break even or better by 2022/23;

- Provincial compensation mandates are expected to be funded by the Province;
- Routine capital funding will remain consistent with 19/20 ministry funding levels; and
- Research revenue to remain at Fiscal 19/20 levels.

The above forecast projects a deficit for 2020/21. This deficit is a result of:

- Significant projected losses within the ancillary units, athletics and recreation and continuing studies even after cost reduction measures have been put in place;
- Workforce planning principles resulting in costs to enable employment continuity and a continued relationship with employees over the longer term;
- tuition revenue losses based on enrolment patterns emerging in early September with assumed higher course drops than in prior years;
- Incremental costs in response to COVID 19;
- Annual incremental costs for progression through the ranks and ranges; and
- Other annual costs increases offset by projected savings from hiring delay and reduced travel.

Under legislation the university is not permitted to run a net operating loss (excluding unrealized gains and losses and before endowment contributions) and would generally be required to offset any loss on the “Unallocated Pressures” line of the report. While the university does not have a current year budget letter (only an interim letter which doesn’t address a deficit), the 2019/20 letter outlined the following:

#### *Deficits*

*Under extraordinary circumstances, institutions may seek an exception to the annual balanced budget requirement and request approval from the Minister of Finance and the Minister of Advanced Education, Skills and Training to operate in a deficit position. Requests for deficit approval **must** be provided to the Ministry of Advanced Education, Skills and Training by the end of the second quarter and include an explanation of key deficit drivers; actions taken to mitigate the deficit; a plan to return to a balanced position and the associated timeframe; and an outline of any extraordinary implications for students. Regardless of the circumstances, an institution should not assume that a request to operate in a periodic deficit will be approved.*

The Ministry continues to indicate that government will consider approval of deficits this year, given the extraordinary nature of a pandemic. Board approved submission of a deficit request in June. A formal request will be submitted to the Ministry based on this updated forecast.

#### **Financial Risk:**

As this quarter 2 forecast is being completed in advance of the term drop deadline, there is a risk that tuition losses could be larger than currently anticipated and are significantly higher than in a typical year. This uncertainty is due to limited data on which to forecast student behavior in a mainly online environment.

Ancillary, continuing studies and athletics and recreation revenues are equally difficult to predict; however, more certainty exists in some units than for the Q1 forecast as students, for example,

commit to student housing. Overall, actual ancillary results could be materially different than the projection.

**Budget Approval:**

Public Sector Accounting Standards (PSAS) require a Board approved, consolidated, all-funds budget on a PSAS basis to be reported on the audited financial statements. In prior years, the Board has approved this budget at its September meeting that is based on the Q1 forecast. For this year, as we have advanced the Q2 report and are requesting approval based on the Q2 forecast, updated for enrolment and incremental expenses.

Public Sector Accounting Standards (PSAS) require a Board approved, consolidated, all-funds budget on a PSAS basis to be reported on the audited financial statements. Consistent with the approach that has been used in the past, we utilize the forecast as the basis for this budget and Schedule B outlines how this forecast translates into the budget figures to be reported on the March 31, 2021 financial statements. In prior years Q1 was used however this year, due to COVID-19 uncertainty, Q2 is recommended. Schedule C outlines how this budget compares to the 2020 budget and actual results.

**Attachments:**

**Schedule A – Q2 GRE Forecast**

**Schedule B – Reconciliation of the 2021 Q1 Forecast to Financial Statement Budget**

**Schedule C - Comparison of the 2021 PSAS Budget to the 2020 PSAS Budget and Actuals**

**Schedule D – Q1 YTD Actual Results**

## Schedule A – Q1 GRE Forecast

Please report all debits as positive numbers and credits as negative numbers

	Forecast 2020/21	Projections		
		2021/22	2022/23	2023/24
	----- \$thousands -----			
<b>Revenue - (credits)</b>				
Amortization of contributions:				
Operating contributions from Provincial Ministries	(221,000)	(230,000)	(238,000)	(245,000)
Operating contributions from Provincial Crown Corps & Agencies	(10,600)	(10,600)	(10,600)	(10,600)
Operating contributions from the Federal Government	(67,000)	(68,340)	(69,707)	(71,101)
Operating contributions from other sources	(25,000)	(25,000)	(25,000)	(25,000)
Deferred capital contributions from Province	(12,068)	(12,455)	(12,788)	(13,472)
Deferred capital contributions from Federal Government	(11,088)	(12,091)	(12,413)	(13,078)
Deferred capital contributions from Other Sources	(4,730)	(4,966)	(5,098)	(5,371)
Contributed surplus	-	-	-	-
Sales of goods and services to Provincial Ministries (including contracts)				
Sales of goods and services to Crown Corps & Agencies (including contracts)	(1,400)	(1,400)	(1,400)	(1,400)
Sales of goods and services to others (contracts and other)				
Sales of goods and services to others (Ancillary Services)	(30,830)	(55,101)	(69,000)	(69,000)
Domestic Tuition and Mandatory Fees	(104,698)	(109,873)	(114,765)	(117,203)
International Tuition and Mandatory Fees	(59,749)	(73,656)	(84,806)	(87,343)
Recognition of endowment investment income	(18,000)	(19,000)	(20,000)	(21,000)
	-	-	-	-
Realized investment earnings (gains)/losses	-	-	-	-
Earnings from commercial subsidiaries (GBE's)				
Investment Earnings (not included above)	(6,000)	(5,800)	(5,800)	(5,800)
Other revenue (not included above)	(7,368)	(7,516)	(7,666)	(7,819)
Total Revenue	(579,531)	(635,798)	(677,043)	(693,187)
<b>Expenses - debits</b>				
Salaries and benefits	407,597	419,337	437,772	451,578
Cost of goods sold	4,107	8,122	12,849	13,235
Operating costs paid to Provincial Ministries				
Operating costs paid to Provincial Crown Corps & Agencies	7,900	8,000	8,100	8,200
Other operating costs (less amortization & debt servicing)	91,839	103,839	109,927	113,225
Capital asset amortization expense	47,974	50,184	53,994	58,618
Capital asset write-downs				
Grants to Crown corporations and agencies	500	500	500	500
Grants to third parties (Scholarships)	44,822	42,138	42,367	41,649
Grants to third parties (Foundations and Other)				
Debt service costs (net of sinking fund earnings)	2,100	2,100	3,600	5,100
Amortization of debt issue costs				
Other	800	800	800	800
Total Expense	607,639	635,020	669,909	692,905
<b>Net (Revenues)/Expenses before extraordinary items</b>	28,108	(778)	(7,134)	(282)
(Gain) loss on sale of capital assets	-	-	-	-
<b>Net (Revenues)/Expenses</b>	28,108	(778)	(7,134)	(282)
Unallocated Pressures (use in Q1 only)				
<b>Operating Net (Income) Loss (for Ministry)</b>	28,108	(778)	(7,134)	(282)
Endowment (restricted asset) contributions	(16,000)	(16,000)	(16,000)	(16,000)
<b>Net (Income) Loss (PSI)</b>	12,108	(16,778)	(23,134)	(16,282)

## Schedule B – Reconciliation of the 2021 Q1 Forecast to Financial Statement Budget

Per PSAB Forecast to Province	Per PSAB Forecast	PSAB Financial Statement Line Items	PSAB Budget (Operating Statement)
Operating contributions from Provincial Ministries	(221,000)		
Operating contributions from Provincial Crown Corps & Agencies	(10,600)		
less: VIHA and Island medical funding (included in other contributions)	10,600		
	(221,000)	Province of British Columbia grants	(221,000)
Operating contributions from the Federal Government	(67,000)	Government of Canada grants	(67,000)
Operating contributions from other sources	(25,000)	Other government Grants	(17,800)
add: VIHA and Island medical funding (included in other contributions)	(10,600)	Donations, non-government grants and contracts	(17,800)
	(35,600)		(35,600)
Deferred capital contributions from Province	(12,068)		
Deferred capital contributions from Federal Government	(11,088)		
Deferred capital contributions from Other Sources	(4,730)		
	(27,886)	Revenue Recognized from Deferred Cap Contributions	(27,886)
Sales of goods and services to Crown Corps & Agencies (including contracts)	(1,400)		
Sales of goods and services to others (contracts and other sales)	-		
Sales of goods and services to others (Ancillary Services)	(30,830)		
	(32,230)	Sales of Services and Products	(32,230)
Domestic Tuition and Mandatory Fees	(104,698)	Student tuition - credit courses	(144,447)
International Tuition and Mandatory Fees	(59,749)	Student tuition - non-credit courses	(20,000)
	(164,447)		(164,447)
Earnings from Government Business Enterprises (GBEs)	(600)	Income from GBE	(600)
Investment earnings (not included in above)	(5,400)	Investment Income	(23,400)
Other revenue (not included above)	(7,368)		
Recognition of endowment investment income	(18,000)		
Realized investment earnings (gains)/losses	-		
	(25,368)	Other Revenue	(7,368)
<b>Total Revenue</b>	<b>(579,531)</b>		<b>(579,531)</b>
<b>Expenses - debits</b>			
Salaries and benefits	407,597	Instruction and non-sponsored research	255,410
Cost of goods sold	4,107	Academic and student support	144,042
Operating costs paid to Provincial Ministries	-	Administrative support	23,783
Operating costs paid to Provincial Crown Corps & Agencies	7,900	Facility operations and maintenance	56,956
Other operating costs (less amortization & debt servicing)	91,839	Sponsored research	114,180
Capital asset amortization expense	47,974	External engagement	13,268
Capital asset write-downs	-		
Grants to Crown Corporations and other Agencies	500		
Grants to third parties (Scholarships)	44,822		
Grants to third parties (Foundations and Other)	-		
Debt service costs (net of sinking fund earnings)	2,100		
Amortization of debt issue costs	-		
Other	800		
<b>Total Expense</b>	<b>607,639</b>		<b>607,639</b>
<b>Note 1</b>			
PSAB requires expenses to be presented by function, which are significantly different than forecast template provided by the Province. In order to determine our budgeted expenses by function, we use total forecasted expenditures, multiplied by the prior year functional allocation of actual expenditures. Note: In 2020/21, allocation was adjusted for expected cost decreases by function.			
<b>Total forecasted expenditures</b>	607,639		
<b>Expense</b>		<b>Functional Allocation</b>	
Instruction and non-sponsored research	255,410	42%	
Academic and student support	144,042	24%	
Administrative support	23,783	4%	
Facility operations and maintenance	56,956	9%	
Sponsored research	114,180	19%	
External engagement	13,268	2%	
	<b>607,639</b>		

## Schedule C

## Comparison of the 2021 PSAS Budget to the 2020 PSAS Budget and Actuals

	2021 PSAB Budget	2020 PSAB Budget	2020 PSAB Actual	2021 budget vs 2020 actual	As %
<b>Revenue</b>					
Province of British Columbia grants	(221,000)	(210,040)	(223,274)	2,274	-1%
Government of Canada grants	(67,000)	(63,000)	(69,593)	2,593	-4%
Other government Grants	(17,800)	(17,300)	(16,371)	(1,429)	9%
Student tuition - credit courses	(142,447)	(154,967)	(159,228)	16,781	-11%
Student tuition - non-credit courses	(22,000)	(22,000)	(21,740)	(260)	1%
Donations, non-government grants and contracts	(17,800)	(17,300)	(19,141)	1,341	-7%
Sales of Services and Products	(32,230)	(68,989)	(70,244)	38,014	-54%
Investment Income	(23,400)	(22,400)	(23,834)	434	-2%
Income from GBE	(600)	(600)	(2,055)	1,455	-71%
Other Revenue	(7,368)	(7,368)	(7,408)	40	-1%
Revenue Recognized from Deferred Cap Contributions	(27,886)	(26,699)	(26,037)	(1,849)	7%
	(579,531)	(610,663)	(638,925)	59,394	-9%
<b>Expenses</b>					
Instruction and non-sponsored research	255,410	250,522	249,911	5,499	2.2%
Academic and student support	144,042	151,516	153,735	(9,693)	-6.3%
Administrative support	23,783	23,130	22,738	1,045	4.6%
Facility operations and maintenance	56,956	52,415	54,846	2,110	3.8%
Sponsored research	114,180	112,888	111,956	2,224	2.0%
External engagement	13,268	14,599	13,242	26	0.2%
	607,639	605,070	606,428	1,211	0.2%

## Schedule D – Q1 YTD Actual Results

University of Victoria					
April 1 - June 30, 2020					
Statement of Operations					
Report in '000s		June 30, 2020	June 30, 2019		
<b>REVENUE</b>					
Grants	Direct transfers from the province	-53,568	-50,806		
	Direct transfers from Crown corporations or government orgs	-199	-2,342		
	Transfers from the federal government	-35	-214		
		-53,802	-53,362		
Deferred contributions	Recognition of Deferred Capital Contributions provincial	-3,304	-2,922		
	Recognition of Deferred Capital Contributions non provincial oth.	-1,042	-1,038		
	Recognition of Deferred Capital Contributions Federal	-2,804	-2,715		
	Recognition of Deferred Contributions provincial	-7,521	-3,778		
	Recognition of Deferred Contributions Federal	-19,657	-18,317		
	Recognition of Deferred Contributions non provincial	-9,641	-9,300		
		-43,969	-38,070		
Other revenues	Tuition Fees - Domestic	-9,917	-9,392		
	Mandatory Fees (related to tuition) - Domestic	-249	-676		
	Tuition Fees - International	-8,754	-10,539		
	Mandatory Fees (related to tuition) - International	-228	-913		
	Sinking fund earnings	-85	-74		
	Recognition of debt premium	0	0		
	Realized investment Gains/Losses	0	0		
	Recognition of Endowment Investment earnings	-1,812	-1,581		
	Investment earnings	-427	-1,054		
	(Gain) loss on sale of tangible capital assets				
	Miscellaneous	-1,400	-1,391		
		-22,872	-25,620		
Sales of goods and services	Sales of goods or services to the province (including contracts)				
	Sales of goods or services to Crown corps or govt orgs (including contracts)	-2,548	-745		
	Sales of goods or services to non-related entities (Contracts)				
	Sales of goods or services to non-related entities (Ancillary Services)	-1,389	-12,655		
		-3,937	-13,400		
	<b>TOTAL REVENUE</b>	-124,580	-130,452		
<b>EXPENSE</b>					
	Salaries and benefits	93,456	94,140		
	Operating expense	30,920	31,245		
	Asset amortization expense	11,993	11,677		
		140,005	137,062		
Grants	Transfers to Crown corporations or government organizations	3,636	0		
	Grants to third parties (Scholarships)	7,902	6,224		
	Grants to third parties (Foundations and Other)				
		7,902	6,224		
Debt expenses	Debt service costs (gross of sinking fund investment)	518	1,388		
	Recognition of debt discount	0	0		
		518	1,388		
Other Expenses	Cost of goods sold	545	2,539		
	Expense due to valuation allowance	0	0		
	Restructuring exit expenses				
	Other miscellaneous expenses				
	Purchases from Crown corporations or government orgs	1,983	2,542		
	Purchases from Provincial Ministries				
		2,528	5,081		
	<b>TOTAL EXPENSE</b>	150,953	149,755		
	<b>(SURPLUS) DEFICIT FOR THE YEAR, BEFORE ENDOWMENT CONTRIBUTIONS</b>	26,373	19,303		
	Endowment Contribution - New Contributions (external sources)	-3,953	-1,392		
	Endowment Contribution - Transferred to/(from) Restricted Deferred Revenue (capitalization)	-9	-9		
	<b>(SURPLUS) DEFICIT FOR THE YEAR</b>	22,411	17,902		
<b>ACCUMULATED (SURPLUS) DEFICIT</b>					
	Opening Accumulated (Surplus), before Accumulated Remeasurement (Gains)/Losses	-867,684	-803,776		
	(Surplus) Deficit for the Year	22,411	17,902		
	Prior Period Adjustments ( <b>see below</b> )	0	0		
	Other Adjustments to Accumulated (Surplus) Deficit ( <b>see below</b> )	-1,550	0		
	Closing Accumulated (Surplus), before Accumulated Remeasurement (Gains)/Losses	-846,823	-785,874		
	Opening Accumulated Remeasurement (Gains)/Losses	-5,029	-22,213		
	Net Remeasurement (Gains) and Losses for the Year	-30,997	-1,149		
	Closing Accumulated Remeasurement (Gains) and Losses	-36,026	-23,362		
	Closing Accumulated (Surplus) Deficit - Combined	-882,849	-809,236		



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR INFORMATION**

**September 18, 2020**

**To: Finance Committee**

**From: Valerie Kuehne**  
**Vice-President Academic and Provost**

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

**Gayle Gorrill**  
**Vice-President Finance and Operations**

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

**cc: President and Vice-Chancellor**

**Meeting Date: September 29, 2020**

**Subject: 2020/21 Budget Expenditure Allocation Report**

**Basis for Jurisdiction: 6.2 Committee's Terms of Reference**

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**Strategic Relevance:**

*Strategy 5.5: Ensure financial sustainability of the university and our ability to pursue excellence by optimizing existing resources through careful planning, earning support, attracting partnerships and pursuing a revitalized program to grow and diversity resources through philanthropic and other means.*



**Background:**

The attached report has been prepared to provide the Board of Governors more detailed information on the implementation of the 2020/21 budget framework which was approved by the Board of Governors on March 30, 2020.

The report outlines the operating expenditure allocations approved by the President. Appendix 1 provides information on the total operating expenditure budget presented by functional area. Appendix 2 gives details of the operating expenditure allocations as distributed to Faculties/Departments.

## 2020/21 BUDGET EXPENDITURE ALLOCATION REPORT

### OVERVIEW

At their March 2020 meeting, the Board approved the 2020/21 to 2022/23 Planning and Budget Framework. The preliminary base operating expenditure budget is \$424M and is outlined in Appendix 1. As outlined in the 2020/21 Planning and Budget Framework, total expenditures were projected to increase by \$27.67M<sup>1</sup>.

The 2020/21 expenditure increase of \$27.67M was a combination of non-recurring and base allocation funded from the following sources:

- \$17.65M of base allocations from:
  - \$7.17M in Provincial grant for compensation costs;
  - \$2.68M in Provincial grant for Engineering, JD/JID and Nurse Practitioner programs ;
  - \$7.69M in incremental tuition fees from inflationary increases (2% domestic, 3.75% international students) and funded enrolment increases (Engineering, JD/JID and Nurse Practitioner); and,
  - \$0.11M from Departmental revenue.
- \$10.02M of non-recurring allocations from:
  - \$6.48M in funds held for non-recurring allocations (not committed to base to protect from enrolment fluctuations); and,
  - \$3.54M in annual non-recurring funds.

Of the \$27.67M in allocations, \$10.07M is required for contractual, inflationary and other regulatory requirements<sup>2</sup>, with budget available for allocation to priority areas of \$17.60. The March Planning and Framework document summarizes the intended allocations pre COVID-19.

In June 2020 a recommended revised budget plan was provided to the Board of Governors. This plan projected that tuition would be \$22.8M less than the approved budget and that new incremental costs to ensure faculty, staff and student safety and to provide for a quality student experience were would be \$11.2M, creating a budget gap of \$34M. The strategies recommended to fund this gap included reducing approved expenditure allocations for the year by \$12.5M and utilizing \$21.5M in carry forward and equipment reserve.

To achieve the \$12.5M in reduced expenditures, allocations for the year were reprioritized within the new COVID-19 context. Reprioritization decisions resulted in deferring, reducing or continuing with previously approved allocations.

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<sup>1</sup> Contractual, inflationary and other regulatory requirements projected at \$10.07M plus \$17.60M for base and non-recurring budget allocations. (2021-2023 Planning and Budget Framework, pp. 26-31)

<sup>2</sup> Compensation (\$8.02M), Engineering infrastructure (\$0.76M), library acquisitions (\$0.56M), maintenance and inflationary (\$0.50M), departmental revenue (\$0.23M). (2021-2023 Planning and Budget Framework, p. 26)

The following table 1 (in millions) summarizes the revised allocations:

**Table 1**

	Held	Allocated	Total
Inflationary, contractual and other requirements	\$ 3.76	\$ 6.31	\$ 10.07
Strategic Framework	\$ 0.36	\$ 0.49	\$ 0.85
Academic program expansion	\$ 0.75	\$ 1.04	\$ 1.80
Institutional Priorities	\$ 7.60	\$ 7.35	\$ 14.95
	\$ 12.48	\$ 15.20	\$ 27.67

Appendix 1 attached outlines the total base operating budget of \$424M by functional area. The \$12.5M in held allocations has been moved to a central budget and will be used to fund non-recurring allocations this year for incremental costs from COVID-19 including cleaning and facility requirements to ensure community safety and resources to maintain quality programming and students supports. The following table 2 (in millions) outlines current projected incremental costs. These costs are not included in the expenditures allocations in Appendix 2:

<b>Table 2</b>	<b>Total</b>
Campus safety	\$ 1.43
Technology and support	\$ 5.03
Academic programming	\$ 8.66
Student supports	\$ 2.47
Total	\$ 17.59

Appendix 2 provided details of each of the allocations made this year by department / unit, and indicates those allocations that are reduced to a partial allocation to help address the budget gap (see reference to note 1). These allocations have been reduced to reflect a delay in hiring (Sept 1 or later) or in project commencement. As these are partial year allocations only they have cost implications for 2021/22 either because of ongoing employees or completion of projects that were started part way through the year. The total base commitment to annualize these costs against the budget for 2021/22 is \$4.2M.

**Attachment(s):**

Appendix 1 - provides summary information of the total operating expenditure budget presented by functional area.

Appendix 2 - provides further details of the operating expenditure allocations distributed to specific Faculties / Departments.

20-21 Preliminary Base Budget				
FTE	000s			Total
	Salaries & Benefits	Supplies & Other		
<b>Academic</b>				
Business	102.6	\$ 10,616	\$ 2,603	13,219
Cooperative Education	67.8	4,728	457	5,185
Education	132.8	12,593	633	13,225
Engineering	187.4	19,151	1,609	20,759
Fine Arts	112.6	10,783	484	11,267
Graduate Studies	9.2	839	543	1,382
Human and Social Development	190.2	18,206	1,316	19,522
Humanities	209.8	23,020	343	23,363
Law	57.3	6,277	590	6,866
Medical Sciences	43.0	3,195	3,030	6,225
Science	260.7	24,909	917	25,826
Social Sciences	238.8	24,119	441	24,560
<b>Academic Total</b>	<b>1,612.3</b>	<b>\$ 158,435</b>	<b>\$ 12,966</b>	<b>\$ 171,401</b>
<b>Other Academic</b>				
Continuing Studies	168.9	9,829	8,810	18,640
Other Academic Projects	242.2	17,774	11,381	29,154
<b>Other Academic Total</b>	<b>411.1</b>	<b>\$ 27,603</b>	<b>\$ 20,191</b>	<b>\$ 47,794</b>
<b>Library</b>				
Library Acquisitions	-	-	9,532	9,532
Library Operations	139.2	9,222	425	9,647
<b>Library Total</b>	<b>139.2</b>	<b>\$ 9,222</b>	<b>\$ 9,957</b>	<b>\$ 19,179</b>
<b>Student Awards &amp; Services</b>				
Student Awards	11.5	653	16,844	17,497
Student Services	167.7	11,884	3,866	15,750
<b>Student Awards &amp; Services Total</b>	<b>179.2</b>	<b>\$ 12,537</b>	<b>\$ 20,709</b>	<b>\$ 33,247</b>
<b>Plant Maintenance</b>				
Maintenance	322.7	17,548	6,517	24,065
Utilities	-	-	6,282	6,282
<b>Plant Maintenance Total</b>	<b>322.7</b>	<b>\$ 17,548</b>	<b>\$ 12,799</b>	<b>\$ 30,347</b>
<b>Administrative and General</b>				
Administrative Registrar	86.4	5,254	480	5,733
Alumni and Development	41.5	2,965	306	3,271
Budget and Capital Planning	20.6	1,797	103	1,900
Chief Information Officer	43.5	3,605	176	3,429
Executive Offices	48.1	5,410	496	5,907
Financial Services	67.6	4,185	178	4,363
Human Resources	39.5	3,541	347	3,888
Other Expenses	90.2	6,910	2,040	8,950
Student Recruitment	28.9	1,882	1,055	2,938
<b>Administrative and General Total</b>	<b>466.1</b>	<b>\$ 35,550</b>	<b>\$ 4,829</b>	<b>\$ 40,380</b>
<b>Compensation, Benefits &amp; Central Budgets</b>	<b>-</b>	<b>\$ 62,234</b>	<b>\$ 7,474</b>	<b>\$ 69,709</b>
Hold Allocations	26.2	8,937	3,539	12,476
<b>Compensation, Benefits &amp; Central Budgets Total</b>	<b>26.2</b>	<b>\$ 71,172</b>	<b>\$ 11,013</b>	<b>\$ 82,185</b>
<b>Grand Total</b>	<b>3,156.7</b>	<b>\$ 332,067</b>	<b>\$ 92,465</b>	<b>\$ 424,532</b>

Strategic Framework	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Experiential Learning Fund	(1)	58,082		58,082	Cultivate an Extraordinary Academic Environment	Strategic Impact fund	Support community-based learning opportunities for students
Fellowship in Research enriched teaching	(1)	29,041		29,041	Cultivate an Extraordinary Academic Environment	Academic and Research support	To fund a fellowship in research-enriched teaching
Impact Chairs	(1)	348,493		348,493	Cultivate an Extraordinary Academic Environment	Academic and Research support	To attract a recruit exceptional faculty who will be leaders in advancing Strategic Framework priorities
Impact Fund	(1)	58,082		58,082	Cultivate an Extraordinary Academic Environment	Academic and Research support	Supports innovative initiatives that accelerate the implementation of the framework and advance UVic's priorities and strategies.
<b>Strategic Framework Total</b>		<b>493,699</b>	<b>-</b>	<b>493,699</b>			
Student and Faculty Support	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Office of the Registrar - Differential fees		15,286		15,286	Cultivate an Extraordinary Academic Environment	Undergraduate & graduate financial assistance	To attract and support a diverse community of talented students
Health Services - Student Affairs			645,000	645,000	Cultivate an Extraordinary Academic Environment	Student supports and success	University Health Services clinic operations
International Student Services - Student Affairs		50,000		50,000	Intensify Dynamic Learning	International Initiatives	International SOS program support
Office of Student Life - Student Affairs		225,000		225,000	Intensify Dynamic Learning	Student supports and success	Student Conduct program and varsity athletics support
Student Services - Student Affairs			300,000	300,000	Cultivate an Extraordinary Academic Environment	Student supports and success	24/7 Student Mental Health program
Vikes Athletics & Recreation - Student Affairs	(1)	78,411	38,000	116,411	Intensify Dynamic Learning	Student supports and success	Varsity Sport leadership position 1.0 FTE; Coaching program in collaboration with EPHE
<b>Student and Faculty Support Total</b>		<b>368,697</b>	<b>983,000</b>	<b>1,351,697</b>			
Learning & Teaching Support & Innovation	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Learning & Teaching Support & Innovation	(1)	58,082		58,082	Intensify Dynamic Learning	Community University Engagement	CER coordinator 0.5 FTE and faculty position 0.5 FTE
Technology Integrated Learning (TIL)	(1)	6,164		6,164	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Operational restructuring: TIL (Director), Teaching Excellence (Director), & Community Engaged Learning
Technology Integrated Learning (TIL)	(1)	16,890		16,890	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	TIL Education Technology support - 1.0 FTE
<b>Learning &amp; Teaching Support &amp; Innovation Total</b>		<b>81,137</b>	<b>-</b>	<b>81,137</b>			
Indigenous Academic & Community Engagement	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Indigenous Academic & Community Engagement	(1)	16,027		16,027	Foster Respect and Reconciliation	Indigenous Supports	Events coordinator position 1.0 FTE
Le, NONET	(1)	9,740		9,740	Foster Respect and Reconciliation	Indigenous Supports	ILE, NONET experiential learning coordinator position 0.5 FTE
<b>Indigenous Academic &amp; Community Engagement Total</b>		<b>25,767</b>	<b>-</b>	<b>25,767</b>			
Business	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Gustavson School of Business	(1)	29,589		29,589	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Support for ENT 100 enrolments - 1.0 FTE Faculty position
Gustavson School of Business - BCom	(1)	54,247		54,247	Intensify Dynamic Learning	Meeting Enrolment Demand	BCom minor program - 2.0 faculty FTE
Differential fees		39,762		39,762	Operations	Operations	To support programs
<b>Business Total</b>		<b>123,598</b>	<b>-</b>	<b>123,598</b>			
Co-op and Career Services	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Indigenous Co-op	(1)	19,716		19,716	Foster Respect and Reconciliation	Indigenous Supports	Indigenous co-op coordinator 1.0 FTE
<b>Co-op and Career Services Total</b>		<b>19,716</b>	<b>-</b>	<b>19,716</b>			
Division of Medical Sciences	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Medical Sciences	(1)	8,630		8,630	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Clinical 'omics centre (shared cost with UBC)
<b>Division of Medical Sciences Total</b>		<b>8,630</b>	<b>-</b>	<b>8,630</b>			
Education	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Kinesiology	(1)	39,452		39,452	Intensify Dynamic Learning	Meeting Enrolment Demand	Meet demand and expand Kinesiology - 1.0 FTE faculty and 1.0 staff FTE
Differential fees		3,286		3,286	Operations	Operations	To support programs
<b>Education Total</b>		<b>42,738</b>	<b>-</b>	<b>42,738</b>			
Engineering	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Engineering Program Expansion		400,000	450,000	850,000	Engage Locally and Globally	Meeting Enrolment Demand	Engineering expansion - TA, sessionals, and faculty recruitment costs
Engineering Program Expansion	(1)	631,644		631,644	Intensify Dynamic Learning	Meeting student demand	Engineering expansion
Differential fees		7,362		7,362	Operations	Operations	To support programs
<b>Engineering Total</b>		<b>1,039,006</b>	<b>450,000</b>	<b>1,489,006</b>			
Fine Arts	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Fine Arts	(1)	2,571		2,571	Foster Respect and Reconciliation	Indigenous Supports	Indigenous resurgence coordinator 0.25 FTE
Office of the Dean	(1)	9,167		9,167	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Office of the Dean receptionist position 1.0 FTE
<b>Fine Arts Total</b>		<b>11,738</b>	<b>-</b>	<b>11,738</b>			
Graduate Studies	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Fellowships			300,000	300,000	Cultivate an Extraordinary Academic Environment	Graduate Student Supports and Success	Graduate fellowships & awards
Indigenous fellowships			42,000	42,000	Foster Respect and Reconciliation	Graduate Student Supports and Success	Graduate fellowships for Indigenous students
Scholarships		300,000		300,000	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	President's research scholarships
Differential fees		15,504		15,504	Operations	Operations	To support programs
<b>Graduate Studies Total</b>		<b>315,504</b>	<b>342,000</b>	<b>657,504</b>			

Human & Social Development	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Health Information Science	(1)	8,908		8,908	Intensify Dynamic Learning	Meeting Enrolment Demand	Lab instructor 0.5 FTE - Health Information Science program
Health Information Science	(1)	22,013		22,013	Intensify Dynamic Learning	Meeting Enrolment Demand	Administrative officer 0.5 FTE - Health Information Science program
Nurse Practitioner Program	(1)	124,746		124,746	Intensify Dynamic Learning	Meeting student demand	Nurse Practitioner program expansion
Social Work	(1)	14,096		14,096	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Program assistant 0.5 FTE - Social Work program
Social Work	(1)	58,082		58,082	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	ATP 1.0 faculty FTE - Social Work program
<b>Human &amp; Social Development Total</b>		<b>227,845</b>	<b>-</b>	<b>227,845</b>			
Humanities	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Indigenous Studies	(1)	13,192		13,192	Foster Respect and Reconciliation	Indigenous Supports	Indigenous Studies - operating support
<b>Humanities Total</b>		<b>13,192</b>	<b>-</b>	<b>13,192</b>			
Law	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Indigenous Law Program	(1)	287,942		287,942	Foster Respect and Reconciliation	Indigenous supports	Indigenous Law program implementation
Differential fees		9,631		9,631	Operations	Operations	To support programs
<b>Law Total</b>		<b>297,573</b>	<b>-</b>	<b>297,573</b>			
Science	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Physics	(1)	11,096		11,096	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	ATP 0.5 faculty FTE, Department of Physics
<b>Science Total</b>		<b>11,096</b>	<b>-</b>	<b>11,096</b>			
Social Sciences	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Office of the Dean	(1)	13,007		13,007	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Office of the Dean administrative assistant position 1.0 FTE
Psychology	(1)	49,315		49,315	Intensify Dynamic Learning	Meeting Enrolment Demand	Department of Psychology - 2.0 FTE faculty ATP positions
<b>Social Sciences Total</b>		<b>62,322</b>	<b>-</b>	<b>62,322</b>			
Library	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Law Library		100,000		100,000	Advance Research Excellence and Impact	Faculty and Research Support	Librarian 1.0 FTE to support the JD/JID program
Library Acquisitions - Inflation and Exchange Rates		550,000		550,000	Operations	Operations	Library collections
<b>Library Total</b>		<b>650,000</b>	<b>-</b>	<b>650,000</b>			
VP Academic and Provost	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
VP Academic and Provost	(1)		145,000	145,000	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Special Advisor International and assistant
VP Academic and Provost	(1)	5,164		5,164	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Spousal support 0.25 FTE
VP Academic and Provost	(1)	27,123		27,123	Cultivate an Extraordinary Academic Environment	Faculty and Research Support	Administrative support - 1.0 FTE
Differential fees		12,316		12,316	Operations	Operations	To provide academic support
<b>VP Academic &amp; Provost Total</b>		<b>45,604</b>	<b>145,000</b>	<b>190,604</b>			
<b>NON-ACADEMIC RELATED ALLOCATIONS</b>							
VP Finance and Operations	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
VP Finance and Operations			100,000	100,000	Intensify Dynamic Learning	Student supports and success	Supports for student field trips
Differential fees		20,014		20,014	Operations	Operations	To provide infrastructure support
<b>VP Finance and Operations Total</b>		<b>20,014</b>	<b>100,000</b>	<b>120,014</b>			
Budget and Capital Planning	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Budget Office			44,300	44,300	Promote Sustainable Futures	Faculty and Department Support	Financial Analyst position
Campus Planning & Sustainability	(1)	85,207	116,000	201,207	Promote Sustainable Futures	Fund Climate & Sustainability Action Plan	Climate and Sustainability Action Plan: Campus planner position, Communications & Engagement Coordinator
<b>Budget and Capital Planning Total</b>		<b>85,207</b>	<b>160,300</b>	<b>245,507</b>			
Facilities Management	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Facilities Inflationary Costs		185,000		185,000	Operations	Operations	To support contract inflationary costs and increase facility maintenance
<b>Facilities Management Total</b>		<b>185,000</b>	<b>-</b>	<b>185,000</b>			
General Counsel	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
General Counsel		35,700		35,700	Cultivate an Extraordinary Academic Environment	Faculty and Department Support	Administrative Assistant support position
<b>General Counsel Total</b>		<b>35,700</b>	<b>-</b>	<b>35,700</b>			
Human Resources	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Human Resources Support	(1)	64,989		64,989	Cultivate an Extraordinary Academic Environment	Faculty and Department Support	Human Resources Consultant 1.0 FTE
Human Resources Support	(1)		41,000	41,000	Cultivate an Extraordinary Academic Environment	Faculty and Department Support	Financial & Retirement Planning Program
Organizational Restructuring	(1)	22,468		22,468	Cultivate an Extraordinary Academic Environment	Faculty and Department Support	HR Advisor position 1.0 FTE
<b>Human Resources Total</b>		<b>87,457</b>	<b>41,000</b>	<b>128,457</b>			
University Insurance	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Insurance Inflationary Costs		140,000		140,000	Operations	Operations	To support annual inflationary costs on institutional insurance
<b>University Insurance Total</b>		<b>140,000</b>	<b>-</b>	<b>140,000</b>			

NON-ACADEMIC RELATED ALLOCATIONS							
University Systems	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Information Security Office	(1)	54,016		54,016	Cultivate an Extraordinary Academic Environment	Facility and Department Support	Senior Information Security Architect 1.0 FTE
Infrastructure Network Services		101,200		101,200	Cultivate an Extraordinary Academic Environment	Information system infrastructure	Senior Wireless Network Analyst 1.0 FTE
Systems Inflationary Costs		170,000		170,000	Operations	Operations	To support annual inflationary costs on institutional licensing
UVic Online Development Services	(1)	21,205		21,205	Advance Research Excellence and Impact	Systems support	RAIS System Maintenance/Ongoing Support 1.0 FTE
UVic Online Development Services	(1)	21,205		21,205	Engage Locally and Globally	Systems support	Developer and System Maintenance Position 1.0 FTE
<b>University Systems Total</b>		<b>367,627</b>	<b>-</b>	<b>367,627</b>			
VP Research Services	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
VP - Research Office	(1)		127,000	127,000	Advance Research Excellence and Impact	Health initiative	Health Sciences Initiative - Grants officer, CIHR internal peer review, Health Expo, new research clusters & partnerships seed funding
Research Partnerships and Knowledge Mobilization			170,000	170,000	Advance Research Excellence and Impact	Intellectual Property Support	Research Partnerships and Knowledge Mobilization - IP Portfolio Support
Rankings and Reputational Advancement	(1)		189,000	189,000	Advance Research Excellence and Impact	Building research connections	VPAC and VPR Faculty and Research Supports: SCOPUS/SciVal subscriptions, ORCID and Open Access, Analyst position 1.0 FTE, Ambassador Pilot
Organizational Restructuring		50,000		50,000	Advance Research Excellence and Impact	Faculty and Research Support	VPRE Portfolio Restructuring - support for revised positions
Research Awards & Grants		250,000		250,000	Advance Research Excellence and Impact	Faculty and Research Support	Research Awards & Grants - Faculty Grants Officers
<b>VP Research Services Total</b>		<b>300,000</b>	<b>486,000</b>	<b>786,000</b>			
VP External Relations	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Communications & Marketing	(1)		15,213	15,213	Engage Locally and Globally	University communication plan	UVic reputational presence impact assessment tool
Communications & Marketing	(1)		55,000	55,000	Engage Locally and Globally	University communication plan	Build Presence and Profile
Communications & Marketing	(1)		300,000	300,000	Cultivate an Extraordinary Academic Environment	Reputational advancement	Reputational Advertising: Student recruitment & research
Communications & Marketing		85,347	54,300	139,647	Cultivate an Extraordinary Academic Environment	University communication plan	Social Media and Rich-Media Storytelling
Fundraising	(1)	221,830		221,830	Promote Sustainable Futures	Fund development plan	Alumni and Development support for Building of Major Gift Program
UVic Legacy Art Galleries			34,000	34,000	Engage Locally and Globally	Legacy gallery support	Collections Management Systems Coordinator 1.0 FTE
<b>VP External Relations Total</b>		<b>307,177</b>	<b>458,513</b>	<b>765,690</b>			
University Secretary	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Equity & Human Rights	(1)		10,000	10,000	Foster Respect and Reconciliation	Education, policy implementation and hiring support	Administrative Support
Equity & Human Rights	(1)	29,106		29,106	Foster Respect and Reconciliation	Education, policy implementation and hiring support	Associate Director, EOHR 1.0 FTE
Equity & Human Rights	(1)		41,000	41,000	Foster Respect and Reconciliation	Education, policy implementation and hiring support	Sexualized Violence Disclosure & Projects Officer
Equity & Human Rights			45,000	45,000	Foster Respect and Reconciliation	Education, policy implementation and hiring support	Legislated Policy review
<b>University Secretary Total</b>		<b>29,106</b>	<b>96,000</b>	<b>125,106</b>			
Capital	Note	Base	Non-Recurring	Total	Key Priority Area	Priority Description	Accountability/Purpose
Capital			1,500,000	1,500,000	Cultivate an Extraordinary Academic Environment	Capital Infrastructure Support	Routine Capital - Functional improvements
<b>Capital Total</b>		<b>-</b>	<b>1,500,000</b>	<b>1,500,000</b>			

(1) Base and Non-recurring allocations are prorated, remainder held to be allocated in 2021/22



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**September 17, 2020**

**FOR ADVICE**

**To: FINANCE COMMITTEE**

**From: VICE-PRESIDENT FINANCE AND OPERATIONS**

A handwritten signature in black ink, likely belonging to the Vice-President of Finance and Operations.

**cc: President and Vice-Chancellor**

**Meeting Date: September 29, 2020**

**Subject: WORKING CAPITAL INVESTMENTS REPORT – To June 30, 2020**

**Basis for Jurisdiction: Working Capital Investments Policy, FM5200**

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**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.*

**For the Board's Consideration:**

Does the Board have any feedback on the suggested reporting with respect to responsible investing?



## Background:

The university has a [working capital investment policy](#) which provides guidance to management and UVic's external investment manager with respect to the investment of university cash (excluding pensions, Long-Term Disability (LTD) Trust, University Student Investment Fund and endowment fund). Semi-annually, a report is provided to the Board, which outlines available cash for investment, current investments as compared to policy, performance of the investments and market commentary.

With approval of the updated Responsible Investment policy this year, this report will now also include updates and reporting out on university progress with respect to that policy. As this is the first time reporting out, feedback is sought on the timing and content on this aspect of the report.

Lastly the report also provides information on the LTD trust and the Student investment fund.

This report is for the period ended June 30, 2020.

On June 29<sup>th</sup>, 2020 the short term investment policy was updated and renamed as the working capital investment policy. The main policy objectives were updated to:

- preserve capital;
- provide liquidity by the investment of a portion of the Funds in liquid short-term investments that can be converted to cash with no risk of principal loss;
- provide yield at a low level of volatility;
- maintain purchasing power; and
- achieve a commitment of investing at least 25% of the portfolio in thematic impact investments.

As well as these objectives, the policy was updated to include requirements to:

- develop investment manager guidelines;
- incorporate environmental, social and governance (ESG) factors into investment management practices; and
- actively engage with companies to foster disclosure of climate related risks, and adoption of operational practices that reduce carbon emissions.

In order to achieve the above objectives, the categories of investible assets were also updated with new targets and target allocations as follows:

Table #1 – Asset Class, Benchmark and Target Allocation

Asset Class	Benchmark	Target Allocation (%)
Liquidity	Canadian Consumer Price Index (CPI)	55
Yield	Canadian Consumer Price Index (CPI) + 1%	40
Return Seeking	Canadian Consumer Price Index (CPI) + 3%	5

**Liquidity** – Assets are used to meet the day to day cash requirements of the university. These assets should be principal guaranteed, and cash redeemable at any time for at least the principal value. Assets in this category include cash, funds held in the Central Deposit Program with the Provincial Government, as well as fully guaranteed investment certificates (GICs) with credit unions and banks.

**Yield** – Assets are used to generate additional return at an appropriate level of risk. Assets are limited to fixed income securities, mortgage funds, private debt and internal loans.

**Return Seeking** – Assets are used to generate a higher rate of return to provide long term growth. Assets are limited to public equities, private equities, infrastructure and venture capital.

Overall, this updated asset allocation allows for a ~2.1% expected rate of return with a slightly higher risk than the current portfolio. This expected rate of return is required to meet both inflation protection as well as operation budget requirements.

### Current Asset Mix and Cash Balances

The following table outlines the total assets (Market Value of Average Monthly Holdings) of the working capital fund as at June 30, 2020 compared to policy.

Table #2 – Working Capital Investments – Asset Range, Target, and Holdings

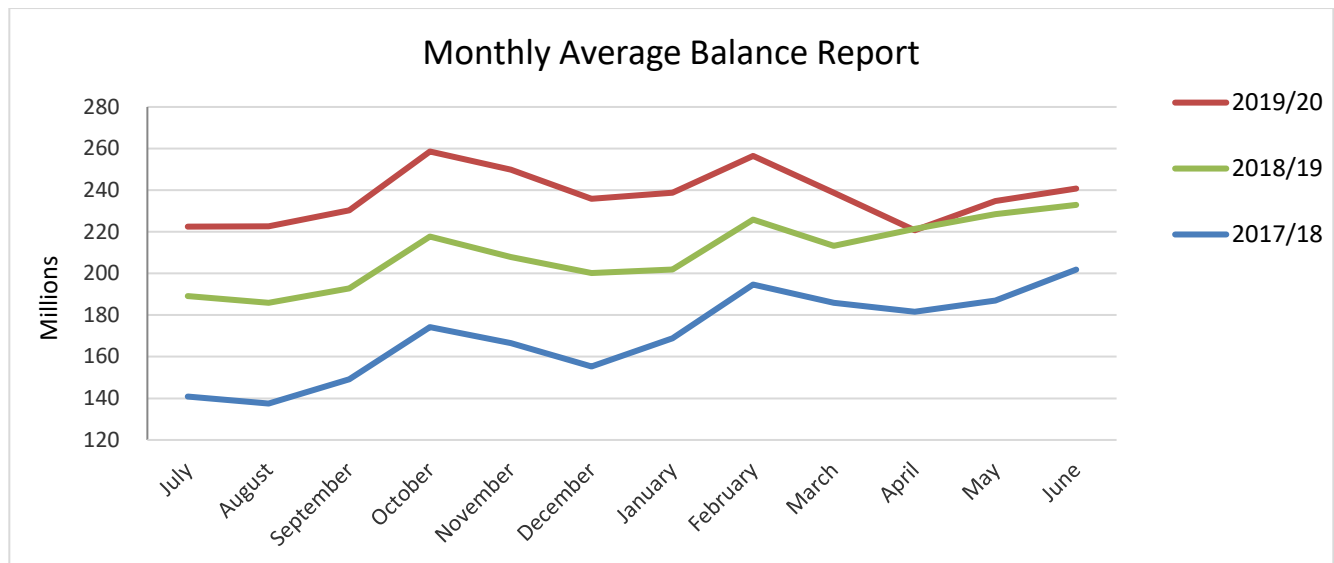
	Range	Target	Total (\$)	Total (%)
<b>Liquidity</b>				
Cash			16,661,000	6.2%
Money Market			152,356,000	57.0%
<b>Liquidity Total</b>	<b>35% - 75%</b>	<b>55%</b>	<b>169,017,000</b>	<b>63.3%</b>
<b>Yield</b>				
Short Term Bond and Mortgage Fund			16,991,000	6.4%
Mortgage Pension Trust			54,807,000	20.5%
Internal Loan			26,375,000	9.9%
<b>Yield Total</b>	<b>0% - 60%</b>	<b>40%</b>	<b>98,173,000</b>	<b>36.7%</b>
<b>Return Seeking</b>				
Nil			-	0.0%
<b>Return Seeking Total</b>	<b>0% - 10%</b>	<b>5%</b>	<b>-</b>	<b>0.0%</b>
<b>Working Capital Investments Total</b>			<b>267,190,000</b>	<b>100.0%</b>

As at the end of June, we remain in our policy allocation ranges for the overall fund. As a result of tactical positioning and operational needs, the liquidity portion of the fund is above its target allocation while the yield portion of the fund is lower than its target allocation. The yield portion of the fund is lower than its target allocation while investment opportunities are assessed. Appendix 1 has monthly asset allocation detail.

The amount of available cash for investment within the working capital fund is subject to seasonality. The provincial operating grant is received bi-monthly, which coincides with payrolls being run, which largely offset each other. Cash peaks generally occur in the fall (September/October) and winter (January/February) when tuition revenues are collected, as well as in the spring (April/May) when the Foundation provides the university with cash for the annual endowment distribution.

The following Graph #1 illustrates fluctuations in the working capital investment pool for the last three years. In March/April 2020 cash declined compared to previous years due to COVID-19 and largely due to the resulting reduction in ancillary revenues. Additionally, the spring tuition deadline was extended from May 31<sup>st</sup> to June 15<sup>th</sup>, and late fees were also delayed until June 30<sup>th</sup> resulting in delaying the receipt of tuition.

Graph #1 – Working Capital Investments



The Board has approved the use of the working capital funds as an internal loan to support the Student Housing and Dining Project. The total budget for the project is \$228.8M, of which approximately \$61.2M will be funded from internal reserves. The balance of the project cash requirements will include a \$45.0M loan from the UVic Foundation (repayments will commence after completion of each building) and \$122.6M in borrowing from the Province. Provincial funds will be borrowed and used as the first source to fund project construction, and therefore in the

short term, the project will have little impact on the working capital fund balance. Once the Province has fully funded their commitment, the working capital investment pool will fund the remainder of construction costs in the following years, save for the Foundation funding of \$45M; \$22.5M upon the completion of each building. UVic has worked with the Province's Debt Management Branch to ensure the most cost effective structure for both construction financing and long term debt. Long term rates for the provincial loan are lower than those used for the financial model for the project. The Foundation interest rates will be locked in once the loan is taken based on rates at that time which are also currently lower than used in the financial model.

## **June 30, 2020 - Performance by Asset Class**

### *Liquidity*

The bank account earns a variable interest rate dependent on the average balance each month. When the average balance is \$10 million or higher, UVic receives the RBC prime rate of 2.45% minus 1.65%, currently 0.80%. If the average bank balance falls below \$10 million, UVic currently earns 0.75%. Along with other major banks, RBC recently lowered their prime rate from 3.45% to 2.45%, in response to the Bank of Canada interest rate cuts. The bank account is used primarily for near term liquidity requirements, as higher interest rates can be earned within other components of the working capital investments.

The Provincial Cash Deposit Program (CDP) continues to be used tactically in conjunction with our existing money market investments. The CDP interest rate is based on the CIBC prime rate of 2.45% less 1.50%, which is currently 0.95%

A review of net performance shows that for the six-month period ending June 30<sup>th</sup>, Money Market holdings returned 1.17% compared to the benchmark (FTSE (Financial Times Stock Exchange) TMX (official portal of the Toronto Stock Exchange) 91-day Treasury Bill Index) of 0.77%. The one-year return of the mandate was 2.52% and added 96 basis points (bps) of value relative to the benchmark.

### *Yield*

Within the yield category there are three main pools of investments:

- 1) Internal lending - UVic funded internal capital projects.

As at June 30<sup>th</sup>, 2020 there were seven loans outstanding, with a total principal balance of \$26.4 million, and a weighted interest rate of 4.4%. In order to support ancillary operations during COVID-19, principal and interest payment from ancillary operations for this year has been waived. As a result, income from this source will be down \$1.6M for the year. This has already been factored into the revised budget for the year.

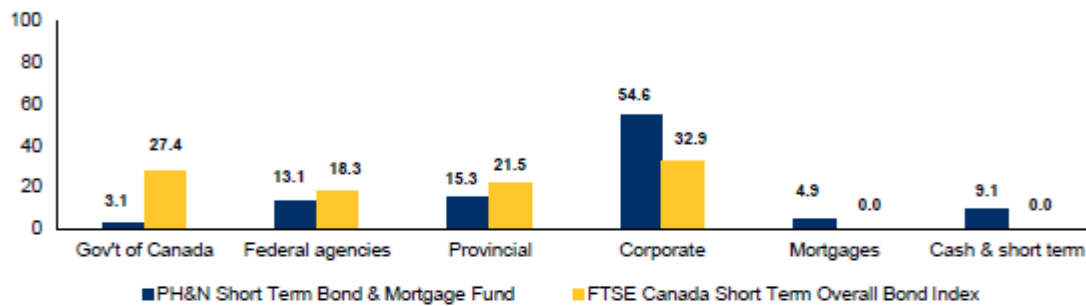
- 2) Phillips Hager & North's (PH&N's) Short Term Bond and Mortgage Fund (STBMF) is benchmarked against the FTSE TMX Short Term Bond Index. For the six months ending June 30<sup>th</sup>, the Fund returned 3.98% and outperformed its benchmark by 225 bps. Significant levels of fiscal and monetary policy actions delivered by the Canadian federal government and the Bank of Canada (BoC) in response to the damaging impact of the COVID-19 pandemic provided significant support to the Canadian economy, financial system, and market, keeping bond yields low and prompting a swift recovery in riskier assets like equities and corporate bonds. The result was a positive performance for both the STBMF and the index. However, it is important to note that while the STBMF did benefit from lowered interest rates, with the overnight rate currently at 0.25%, it is unlikely the fund will be the beneficiary of lower interest rates going forward. The one-year gross return for the fund was 5.29%, ahead of its benchmark by 82 bps. Consistent with the overall market and as per table #3, the yield on the Fund has decreased to 1.25% compared to 1.91% one year ago. As a result, it will be more challenging to rely on the yield of our investments to earn our required rate of return. Table #3 also shows how the composition of the Short Term Bond and Mortgage Fund compares to its benchmark at June 30<sup>th</sup>, 2020. The most significant difference relative to the benchmark remains the underweight in Government of Canada and Provincial bonds and the overweight in corporate bonds.

Table #3

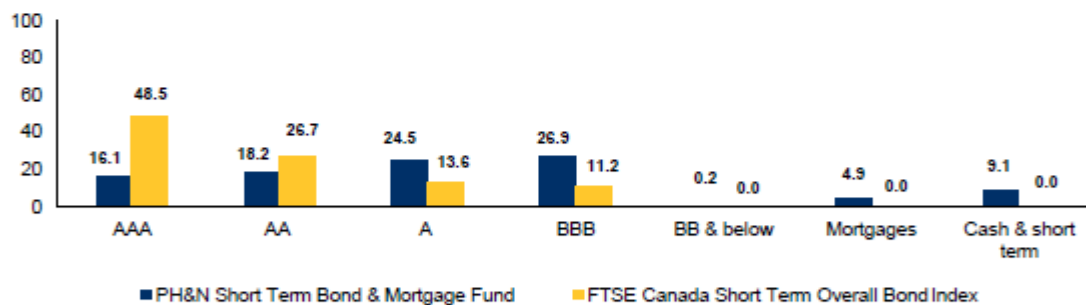
## PH&N Short Term Bond & Mortgage Fund Portfolio Structure as of June 30, 2020

Fund Characteristics			
	Modified Duration (Yrs)	Term to Maturity (Yrs)	Yield to Maturity (%)
PH&N Short Term Bond & Mortgage Fund	2.82	3.06	1.25
FTSE Canada Short Term Overall Bond Index	2.88	3.02	0.81

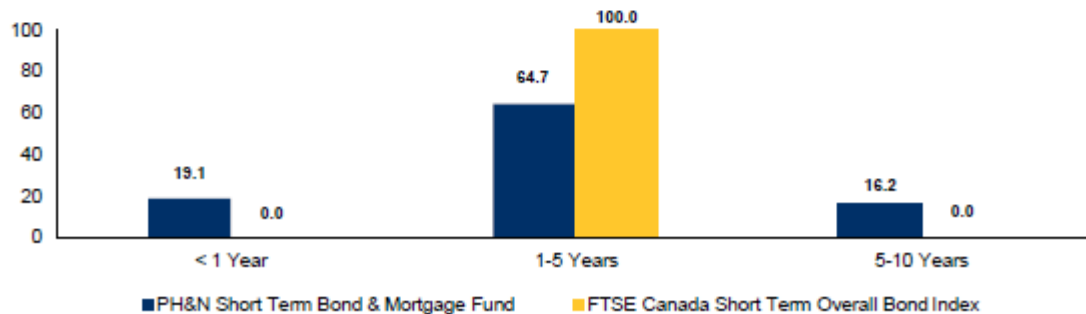
### Issuer Analysis (%)



### Rating Analysis\* (%)



### Maturity Analysis (%)



\* Current ratings based on average across rating agencies (DBRS, Moody's, S&P) where available. Ratings at the time of purchase may differ. Totals may not add to 100% due to rounding.

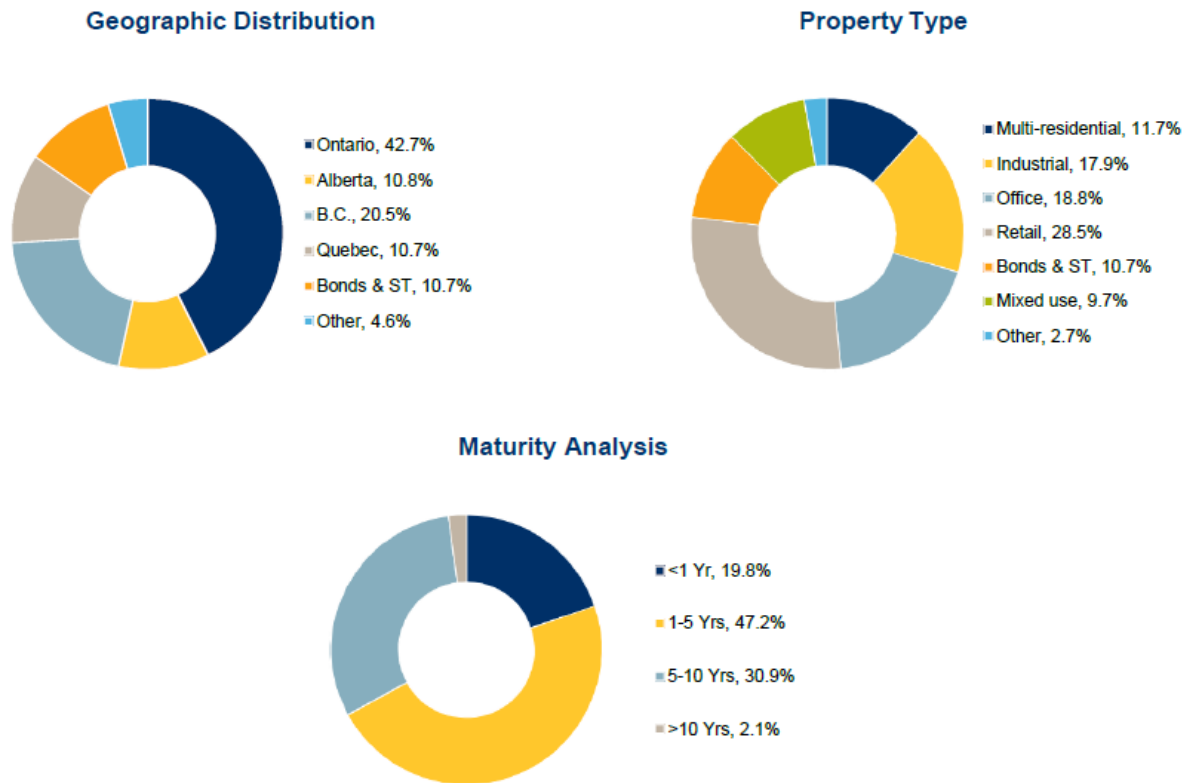
(Source: PH&N)

- 3) PH&N's Mortgage Pension Trust (MPT) is benchmarked against the FTSE TMX Short Term Overall Bond Index + 1%. For the six months ending June 30<sup>th</sup>, the Fund returned 2.85%, ahead of its benchmark by 62 bps. On a one-year basis, the Fund earned a gross return of 2.66% and underperformed its benchmark by 181 bps. This underperformance is due to the index benefitting from significant economic stimulus which lead to declining yields and increased prices in both corporate and provincial bonds. Mortgages had a smaller yield decline than bonds, and as a result did not have the same increase in value. Mortgages are relatively illiquid and it is more challenging to buy and sell mortgages quickly than bonds, so the positioning of the fund takes longer to make strategic changes.

Table #4 details the breakdown of the fund by geographic distribution, property type and maturity.

Table #4

**As of June 30, 2020**



(Source: PH&N)

## June 30, 2020 Total Fund Return Summary and Analysis

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The overall one-year return of the fund ending June 30<sup>th</sup>, 2020 was 2.62% net of fees, underperforming the benchmark by 0.42% as outlined in Table #5.

Table #5

6 Month Total Fund Return	6 Month Benchmark Return	6 Month Target Return	6 Month Over (Under) Performance to Benchmark	1 Year Total Fund Return	1 Year Benchmark Return	1 Year Target Return	1 Year Over (Under) Performance to Benchmark
1.52%	2.31%	1.05%	-0.79%	2.62%	3.05%	2.10%	-0.42%

This overall performance reflects outperformance by Money Market mandate and underperformance within both the Short Term Bond and Mortgage Fund and the Mortgage Pension Trust. The Money Market mandate outperformed due to having locked in higher interest rates ahead of falling interest rates this year, while the fixed income funds underperformed largely due to Mortgage Pension Trust and mortgages underperforming bonds over the past six months. Appendix 2 provides further details on each mandate relative to their benchmarks over the past year.

The CPI increased 0.7% over the same period and as a result, all things being equal, the overall purchasing power of the fund increased, outpacing inflation by 1.92% (2.62% total return less inflation of 0.7%).

### Market Commentary and Outlook

By early 2020, a historic 11 year bull run in equities appeared to be over and given the sharp decline in the markets due to fears from the COVID-19 virus, it appeared that a correction was in full force. The equity downturn, however, was short lived due to promises of economic stimulus and assurance for reopening the economy. These lead to the market returning to near pre-pandemic highs for the US market resulting in a gain in the Standard & Poor's (S&P) 500 US index of 7.5% over the 12 month period ended June 30, 2020. Even so, job losses continue to mount, and the disconnect between the economy and the stock market continues to grow. Unlike the US, the Canadian market was down 2.1% over the previous twelve months. Both markets, however, have either reached or are close to their pre pandemic highs, with the S&P 500 surpassing their pre pandemic levels, and the S&P Toronto Stock Exchange (TSX), as at Sept 11<sup>th</sup>, just 11% off highs earlier this year.

Bad economic news typically pushes interest rates down and in turn increases bond returns. This is beneficial to the working capital fund, as it is currently an entirely fixed income portfolio. Over the past six months, government bonds have led the way, with corporate bonds close behind. As at June 30<sup>th</sup>, the Canadian Universe Bond Index is up 7.3% YTD, compared to the TSX index which returned -7.5% over the same time period.



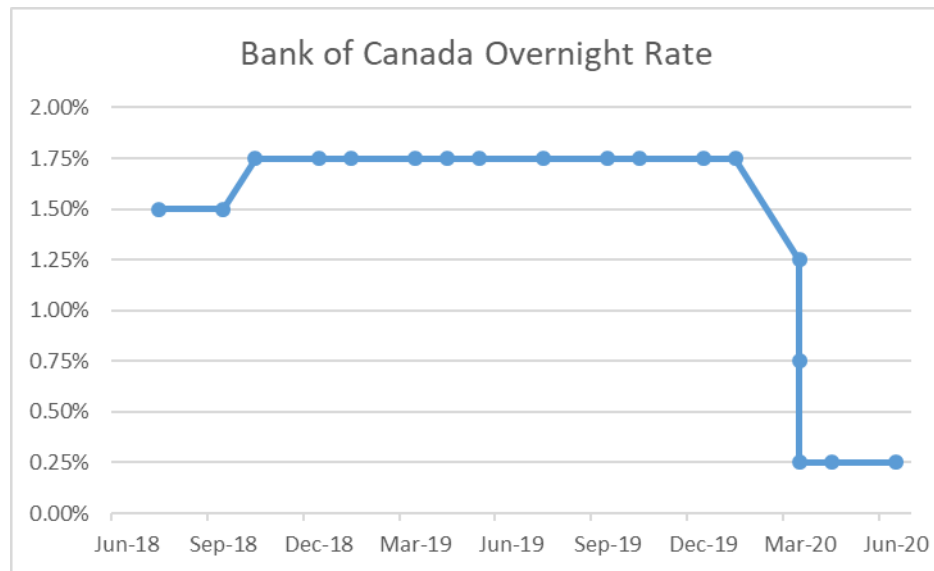
While the portfolio doesn't currently contain equities, we regularly monitor its performance and the S&P/TSX dividend yield compared to the 10 year BoC yield, as this can impact bond yields and pricing. Yields are what investors earn while they hold an asset. In the past it was unusual to have a 10 year bond yield less than the dividend yield on equities. At the end of June, the dividend yield on the S&P/TSX was 3.8% compared to a 10 year Canadian bond yield of 0.5%. This trend has persisted for quite some time and has become more the norm. In theory if yields on bonds are less than yields on equities then bond investors are encouraged to take on more risk (traditionally investing in equities), reducing the demand for bonds, decreasing prices and raising yields.

Interest rate level can also have a significant impact on the fund. After a period of stability, the BoC has lowered the overnight rate multiple times during the previous six months in response to market volatility from the COVID-19 pandemic as follows:

- March 4, 2020 - cut of 50 bps lowering the rate from 1.75% to 1.25%;
- March 13, 2020 – cut of an additional lowering the rate to 0.75%; and
- March 27, 2020 - a further 50 bps cut, lowering the rate to 0.25%.

While economies are re-opening, the global and Canadian outlook remains extremely uncertain. After a sharp drop in the first half of 2020, global economic activity is picking up. This return to growth reflects the relaxation of necessary containment measures put in place to slow the spread of the coronavirus, combined with extraordinary fiscal and monetary policy support. As a result, financial conditions have improved. The prices of most commodities, have risen from very low levels. The BoC is forecasting the global economy to shrink by about 5% in 2020 and then to grow by ~5% in 2021 and 2022. The timing and pace of the recovery varies among regions and could be hampered by a resurgence of infections and the limited capacity of some countries to contain the virus or support their economies. Graph #2 illustrates the Bank of Canada overnight rate over the previous 24 months.

Graph #2 – BoC Overnight Rate (1Y)



(Source: Bank of Canada)

As noted above, the overnight rate had remained at 0.25% since late March. At this time, there is a low probability of additional cuts based on current futures markets. Given that rates are unlikely to change it is likely that we will reposition the fund with a longer duration to achieve a greater yield.

Meeting Date	% Chance of Cut By	Implied Rate Cut from Current Level
October 28 <sup>th</sup>	4.4%	1 basis point
December 9 <sup>th</sup>	-1.5%	0 basis points
January 20 <sup>th</sup>	7.2%	3 basis points

Source: Bloomberg, September 9<sup>th</sup>

The above rate cuts have led to a significant decline in yields in both the STBMF and the MPT, with the STBMF declining from 2.2% at the end of 2019 to 1.3% as at June 30, and the MPT declining from 3.4% to 3.0% over the same time period. In the near term, due to the low probability of further interest rate movement, the working capital investments portfolio is likely to see similar yields in both funds.

During 2020, there has been a rapid decrease in GIC rates as they have mirrored the decline in the BoC interest rate. The best predictor of investment performance is yield, and with the current declining yields of both the GIC and PH&N fund rates, the overall fund working capital fund yield fell to 2.2%.

On the Canadian Dollar front, as a result of the volatile markets, it has depreciated versus the US Dollar (USD), beginning the year at \$0.77, falling to a low of \$0.69 in mid-March, and then slowly recovering and settling at \$0.73 at the end of June. Stats Canada noted that inflation fell from 2.4%

in January to 0.7% just six months later, driven largely by the effects of COVID-19. The BoC also identified that demand for goods and services has fallen sharply because of the pandemic, with sharp declines in prices for gasoline, travel services, and clothing and footwear. The direct and indirect effects of the crisis have been pulling down the Consumer Price Index (CPI), which measures inflation, with CPI falling close to zero in April and May. Due to firms heavily discounting some products, limited evidence of firms marking up prices to pre pandemic levels and low energy prices, inflation is expected to remain weak in the near term. Inflation and interest rates are monitored to ensure the rate of return requirement and purchasing power are achieved.

## Investment Yields

Interest rate changes affect investment yields and their associated yield curve<sup>1</sup>. Table #6 and #7 below show the current yield curve and the one-year implied change at June 30<sup>th</sup>, 2021 compared to June 30<sup>th</sup>, 2020. In contrast to the previous year, the 1, 2, 5, 10, and 30 year rates have all decreased. Since June 30, 2019, interest rates have decreased, with the one year rate falling the greatest amount (141 bps) to 0.28%. At this point last year, the forward curve was predicting a decrease in rates for the 1 year, 2 year, 5 year and 30 year, and an increase in rates for the 10 year, but market uncertainty due to COVID-19 had rates at June 30, 2020 much lower than predicted.

Table #6

Government of Canada Yields (%)					
	1 Yr	2 Yr	5 Yr	10 Yr	30 Yr
June 30, 2020	0.28	0.29	0.37	0.53	0.99
Forward Curve for June 30, 2021	0.30	0.31	0.42	0.65	1.02
Implied Change (1 year)	+0.02	+0.02	+0.05	+0.12	+0.03

Source: FTSE Global Debt Capital Markets Inc., RBC GAM (BondLab)

(Source: PH&N)

Table #7

Government of Canada Yields (%)					
	1 Yr	2 Yr	5 Yr	10 Yr	30 Yr
June 30, 2019	1.69	1.48	1.40	1.47	1.69
Forward Curve for June 30, 2020	1.18	1.31	1.36	1.48	1.68
Implied change (1 year)	-0.51	-0.17	-0.04	+0.01	-0.01

Source: FTSE Global Debt Capital Markets Inc., BondLab

(Source: PH&N)

<sup>1</sup> A yield curve shows the relationship between the yields on short-term and long-term bonds of the same investment quality

## PH&N Commentary

- *Though an economic recovery now appears to be taking shape, the pace at which we return to pre-pandemic output levels remains highly uncertain. Looking ahead, we expect that the global and Canadian economic return to normalcy will depend on two key factors: the containment of COVID-19, and the policy response.*
- *Global bond yields have declined sharply, and in Canada, the 10-year government bond yield fell from nearly 1.7% at the beginning of the year to finish the second quarter at just 0.5%. Looking ahead, we expect that the hangover in economic activity due to the virus will continue for some time. As a result, it is reasonable to expect that bond yields will remain near currently low levels, as unemployment remains high, inflation low, and central banks accommodative.*

## Responsible Investment Update

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The Board approved an updated [Responsible Investment Policy](#) in January of 2020. This section of the report is intended to provide updates on progress against the objectives and goals as outlined in the policy as well as those related goals in the Working Capital Investment Policy.

The responsible investment policy is committed to:

- Use the strategic framework of the University to guide its working capital investment decisions in promoting sustainable futures and supporting Indigenous economic development;
- Use university working capital investments to address the physical and transitional risks and opportunities of climate change;
- Use positive and negative screening to reduce the carbon intensity of investments by at least 45% by 2030; and
- Use a responsible investment approach to manage investment risks.

### 1. United Nations' Principles for Responsible Investment (UNPRI)

UVic became a UNPRI signatory on May 7, 2020. Being a signatory commits UVic to the following six principles:

- Principle 1: We will incorporate Environmental, Social, and Corporate Governance (ESG) issues into investment analysis and decision-making processes.

- Principle 2: We will be active owners and incorporate ESG issues into our ownership policies and practices.
- Principle 3: We will seek appropriate disclosure on ESG issues by the entities in which we invest.
- Principle 4: We will promote acceptance and implementation of the Principles within the investment industry.
- Principle 5: We will work together to enhance our effectiveness in implementing the Principles.
- Principle 6: We will each report on our activities and progress towards implementing the Principles.

One of the requirements to remain in good standing is to submit a Transparency Report, which enables transparency on responsible investment activities and to facilitate dialogue between investors and their client, beneficiaries and other stakeholders. The report includes responses to mandatory indicators, as well as voluntary indicators. Each signatory is required to submit the report by March 31<sup>st</sup> each year. Since UVic became a signatory in May, our first report will be due in 2021.

The fund's only external manager, PH&N is also a UNPRI signatory. In their most recent Assessment Report, the PRI gave each of PH&N's modules a score of A+. For reference, see Appendix 4 for PH&N's 2019 Transparency Report in which they achieved an A+. Along with being a UNPRI signatory, PH&N has also taken additional steps to respond to the climate change crisis through committing to six objectives:

1. Carbon footprinting of investment portfolios;
2. Climate scenario analysis of investment portfolios;
3. Prioritize active stewardship on climate change;
4. Climate Acton 100+ signatory;
5. Task Force on Climate-related Financial Disclosures supporter;
6. Climate based solutions for clients; and
7. Net zero carbon emissions in our operations.

A detailed report of PH&N's response to climate change is attached in Appendix 4. Carbon footprinting of their portfolio is key for the university to be able to measure its decarbonisation goal.

## **2. Policy Implementation**

The goals outlined in the updated responsible investment policy reflect a fundamental shift in investment management practice. To provide the expertise, research and feedback in support of implementing this policy two working groups were established – a decarbonisation group and an impact investing group.

The goal of the decarbonisation group is to develop a carbon tracking methodology, appropriate reporting to the Board and campus community, a road map for implementing a decarbonisation strategy and investment opportunities that move the university towards achieving the carbon intensity reduction goal.

The goal of the impact investing group will be to provide information, knowledge, and advice that will inform investment decisions that support the goal of promoting sustainable futures and Indigenous economic development, appropriate reporting to the Board and campus community, and a road map for implementation of the impact investment strategy.

The working groups consist of faculty and staff with expertise and/or experience in areas noted within the policy goals and are chaired by the Associate Vice-President Financial Planning and Operations.

As of the end of August, the decarbonisation group has met three times, and the impact investing group has met twice.

To date, two recommendations have been made by the decarbonisation working group with respect to developing a reporting methodology on decarbonisation:

1. To report based on two different metrics listed in Task Force on Climate-related Financial Disclosures (TCFD) "Common Carbon Footprinting and Exposure Metrics": Weighted Average Carbon Intensity and Total Carbon Emissions. Weighted Average Carbon Intensity and the Total Carbon Emissions will be used to measure the Working Capital Investments' carbon intensity and how we are tracking relative to our carbon reduction goal at least 45% by 2030.
2. For the Weighted Average Carbon Intensity report, using a fixed average baseline of the Working Capital Investments portfolio (using 1-3 years based on data availability) and compare to the portfolio's current carbon metric also averaged over 1-3 years to minimize volatility as a result of market events.

The impact investing working group is developing an investment selection process that reflects the goals stated within the Working Capital Investments and the Responsible Investment Policies. It is exploring how to align the university's strategic priorities with the United Nations Sustainable Development Goals (UNSDGs) and considering what impact frameworks and reporting tools should be present in funds in which we consider to investment. The group is also currently considering an impact venture capital investment which is intended to support Indigenous economic development.

In addition to the activities by the working groups, a review of the Working Capital Investments website is being undertaken in order to provide more information on investments within this fund.

### 3. Engagement

UVic is one of 15 Canadian universities who have recently signed a charter to address the global crisis of climate change under the Investing to Address Climate Change Charter. Each signatory must abide by the following four principles:

1. Adopt a responsible investing framework to guide investment decision-making, in line with recognized standards such as the UN-supported Principles of Responsible Investment (UN-PRI). Such a framework should:
  - a. Incorporate ESG factors into investment management practices; and
  - b. Encourage active engagement with companies to foster disclosure of ESG (including climate) related risks, and adoption of operational practices that reduce carbon emissions and foster ESG-positive behaviour more broadly.
2. Regularly measure the carbon intensity of our investment portfolios, and set meaningful targets for their reduction over time.
3. Evaluate progress towards these objectives on a regular basis, and share the results of such assessments publicly.
4. Ensure that the performance evaluation of our investment managers takes into account their success in achieving such objectives, alongside the other criteria for assessing their performance.

The advisory committee for this charter is comprised of Mark Carney, Pauline D'Amboise, Michael Sabia and Barbara Zvan.

Lastly, UVic has made a commitment to join the University Network for Engagement (UNIE), with plans to publicly announce this engagement in the near future. It is a group of a dozen prominent Canadian universities who are working together to establish a climate change investor engagement program that leverages their power as institutional investors to meaningfully address the drivers of climate change in their portfolio. Further information is provided in Appendix 5.

### Responsible Investment Holdings

As at June 30, 2020, the Working Capital Investment portfolio has two impact GICs totaling \$5,000,000 representing 1.9% of the total fund. The two GICs have a focus on local community services, housing and farming. Details of both investments are available in Appendix 6. Additionally, our holdings within the Short Term Bond and Mortgage Fund contain five green bonds, detailed below:

Issuer	Market Value	% of Fund	Percent MV	Yield	SDG	Sector
GRANITE REIT	32,235.37	0.12%	0.12	\$2.68	11	Real Estate
IVANHOE CAMBRIDGE II	66,899.29	0.25%	0.10	\$1.45	11	Real Estate
ONT PWR GENERATION	233,705.52	0.87%	0.33	\$1.47	7	Energy

ONTARIO PROV	19,748.10	0.07%	0.08	\$1.05	8, 9	Provincial
RIOCAN REAL ESTATE	18,157.00	0.07%	0.07	\$3.06	11	Real Estate

### Proposed Reporting

The Responsible Investment Policy requires that “a report on responsible investment activities and their related goals will be submitted at least annually to the Board of Governors and the university community. The Working Capital Investment Policy requires semi-annual reporting. Given these reporting requirements, the intent is to include updates on responsible investment policy initiatives, a list of total impact investment holdings and information on new impact investments in each semi-annual Board of Governors report.

More fulsome annual reporting will include:

- external manager and internal UNPRI Transparency Reports;
- Carbon footprinting; and
- Engagement reporting (e.g., UNIE engagement report).

Furthermore, we plan on updating the treasury investments website with our entire holdings list on an annual basis, and highlighting any new impact investments on a quarterly basis as we work towards including more impact investments. As well as this reporting, we will discuss with the working groups other ways to report and provide information to the university community more broadly.

### University Student Investment Fund

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The University Student Investment Fund was established on October 31, 2017. Contributions to this fund totaled \$647,300 including funds from donors (\$414,300) through the Faculty of Business, and \$233,000 from the university. The portfolio currently holds individual company securities as well as index funds. As at June 30<sup>th</sup>, the portfolio included five index funds – a US equity exchanged-traded fund (ETF), a Canadian equity ETF, a Canadian universe bond index ETF, a Canadian corporate bond index ETF, and a Canadian aggregate bond index ETF. Additionally, over the last six months equity investments have been made in CGI Inc., Microsoft Corporation, Royal Bank of Canada, Brookfield Asset Management, Boyd Group Services Inc., S&P Global Inc., and Air Products and Chemicals Inc. The market value of the fund as at June 30<sup>th</sup>, 2020 was \$751,669. The fund earned a net return of 0.0% over the previous six months, compared to the benchmark return of -0.5%. The university plans to provide an overview of the university’s revised Responsible Investment Policy and ask the students to consider inclusion of the policy goals into their investment strategy moving forward (e.g., consider the university’s goal of reducing the carbon footprint by 40% by 2030).



## Managing Exchange Rate Risk

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As per section 6.01 of the working capital investments policy FM 5200 below, we manage exchange rate to reduce the risk of significant negative variances in our operating and research budgets in the current fiscal year. This approach was chosen as we are mindful that our internal expertise is to facilitate operational transactions and not to attempt to create value by taking currency positions. In addition, it is important to recognize that budgets are established and modified on an annual basis giving the opportunity for annual adjustments, if appropriate, based on economic circumstances. The policy outlines that the focus should be on transactions greater than \$50,000 US. Generally transactions of this size occur within Systems, the library and sometimes research areas.

For the current fiscal year, to support the budgets within the Library and Systems, ~5.3 million U.S. dollars (USD) were purchased to mitigate budget risk for these departments for 2020-21. The USD was purchased at approximately 1 USD = 1.39.

### Attachments:

**Appendix 1:** Report of Monthly Balances in Working Capital Investment Pooled Funds

**Appendix 2:** Investment Performance Report - Returns as at June 30, 2020

**Appendix 3:** PRI Transparency Report (see supplementary reading)

**Appendix 4:** PH&N – Our Approach to Climate Change (see supplementary reading)

**Appendix 5:** University Network for Investor Engagement

**Appendix 6:** Impact GIC Reports

## Appendix 1 - Report of Monthly Balances in Working Capital Investment Pooled Funds<sup>2</sup>

Policy FM5200 Constraint	Liquidity (35 - 75% of Portfolio - Target 55%)					Yield (0 - 60% of Portfolio - Target 40%)					Return Seeking (0 - 10% of Portfolio - Target 5%)		Total Portfolio	
	Bank (CAD)	Bank (USD in CAD)	Raymond James / Canaccord / CDP	Total Money Market	% of Total Portfolio	PH&N STBMF	PH&N MPT	Internal Loan	Total Yield	% of Total Portfolio	Total Return Seeking	% of Total Portfolio		%
Jul-19	7,338,938	2,432,832	133,142,592	142,914,362	57%	28,721,430	50,813,327	29,091,494	108,626,251	43%	-	0%	251,540,613	100%
Aug-19	9,613,733	2,157,408	131,262,837	143,033,978	57%	28,442,078	51,239,067	28,847,747	108,528,892	43%	-	0%	251,562,870	100%
Sep-19	12,370,045	1,454,778	136,137,754	149,962,577	58%	25,916,166	54,445,233	28,603,367	108,964,767	42%	-	0%	258,927,343	100%
Oct-19	8,647,620	984,788	164,030,896	173,663,305	61%	30,648,657	54,276,285	28,358,351	113,283,293	39%	-	0%	286,946,597	100%
Nov-19	9,752,371	2,246,300	152,610,179	164,608,849	59%	30,869,817	54,391,303	28,112,698	113,373,817	41%	-	0%	277,982,666	100%
Dec-19	7,710,008	454,630	142,653,848	150,818,486	57%	30,893,240	54,406,181	27,866,405	113,165,825	43%	-	0%	263,984,311	100%
Jan-20	16,254,079	735,370	137,315,949	154,305,397	58%	30,827,905	54,258,549	27,619,470	112,705,924	42%	-	0%	267,011,321	100%
Feb-20	10,203,991	943,414	155,733,965	166,881,370	59%	35,452,681	55,063,582	27,371,891	117,888,154	41%	-	0%	284,769,524	100%
Mar-20	5,015,261	344,975	143,336,587	148,696,824	56%	35,720,081	55,615,017	27,123,666	118,458,764	44%	-	0%	267,155,587	100%
Apr-20	4,920,549	5,159,452	137,873,013	147,953,014	60%	18,635,699	54,147,900	26,874,793	99,658,391	40%	-	0%	247,611,405	100%
May-20	15,941,648	4,114,116	143,808,497	163,864,261	63%	16,586,606	54,270,528	26,625,269	97,482,403	37%	-	0%	261,346,664	100%
Jun-20	12,955,505	3,705,088	152,356,114	169,016,708	63%	16,990,747	54,806,820	26,375,093	98,172,660	37%	-	0%	267,189,367	100%
Jul-20	14,276,362	2,659,189	125,611,826	142,547,377	54%	41,147,522	55,211,479	26,124,263	122,483,264	46%	-	0%	265,030,640	100%

<sup>2</sup> Assets are reported on average market monthly holdings

**Appendix 2 - Investment Performance Report - Returns as at June 30, 2020**

## Money Market Funds/Cash Deposit Program

Monthly Return	Monthly FTSE TMX 91-Day T- Bill Index	Monthly Over (Under) Performance	1 Year Fund Return	1 Year FTSE TMX 91-Day T-Bill Index	1 Year Over (Under) Performance
0.18%	0.02%	0.16%	2.52%	1.56%	0.96%

## PH&amp;N – Short Term Bond and Mortgage Fund (Net Returns)

Monthly Return	Monthly FTSE TMX Short Term Bond Index	Monthly Over (Under) Performance	3 Month Return	3 Month FTSE TMX Short Term Bond Index	3 Month Over (Under) Performance	1 Year Return	1 Year FTSE TMX Short Term Bond Index	1 Year Over (Under) Performance
0.56%	0.53%	0.04%	2.54%	2.14%	0.40%	4.32%	4.39%	-0.08%

## PH&amp;N – Mortgage Pension Trust (Net returns)

Monthly Return	Monthly FTSE TMX Short Term Bond Index +1%	Monthly Over (Under) Performance	3 Month Return	3 Month FTSE TMX Short Term Bond Index +1%	3 Month Over (Under) Performance	1 Year Return	1 Year FTSE TMX Short Term Bond Index +1%	1 Year Over (Under) Performance
0.74%	0.61%	0.13%	1.95%	2.39%	-0.44%	2.65%	5.39%	-2.74%

## Total Fund Return vs. Benchmark Return – (including bank deposits and based on average monthly balances)

Monthly Total Fund Return	Monthly Benchmark Return	Monthly Over (Under) Performance	3 Month Total Fund Return	3 Month Benchmark Return	3 Month Over (Under) Performance	1 Year Fund Return	1 Year Benchmark Return	1 Year Over (Under) Performance
0.32%	0.27%	0.06%	1.01%	1.08%	-0.07%	2.62%	3.05%	-0.42%

# UNIVERSITY NETWORK FOR INVESTOR ENGAGEMENT

## A COLLABORATIVE SOLUTION FOR CLIMATE ENGAGEMENT

A dozen prominent Canadian universities are establishing a collaborative climate change investor engagement program that leverages their power as institutional investors to meaningfully address the drivers of climate change in their portfolios. Investor stewardship will help each university address climate change risks across the entire portfolio, and help demonstrate alignment with the Paris Agreement.

**Investor engagement to achieve GHG reductions across the whole portfolio:** High priority Canadian and US publicly-listed companies in participant portfolios will be chosen for direct and persistent shareholder engagement through an assessment of specific risks and opportunities based on market, sector and individual company characteristics, as well as representation in participating university portfolios. The program will focus on a

minimum of 20-25 companies within Canada and the United States in the initial year of operation, with the option to expand direct and collaborative engagement opportunities well beyond that number. The companies will be spread between different sectors: utilities, manufacturers, retail, transportation, finance, mining and energy. We'll set clear objectives and targets for its work, to allow year-on-year tracking of progress and communication of results, both within each university's investment portfolios and within the program as a whole.

**What will this require of university staff?** The collaborative program will make a robust program of active ownership and collaboration achievable, even for smaller institutions, without requiring new staff resources or overtaxing existing staff. With a collaborative program that pools resources, the university will access an external team and collective program worth several hundred thousand dollars for a fraction of the cost.

**Will we have to change managers?** Your university endowment and pension funds retain existing independent relationships with investment managers and still carry out their individual investment decision-making processes.

**How will we oversee the program?** The program will be overseen by an advisory board of volunteers from all participating institutions, including your University.

**Who will run the program?** Operations will be managed by SHARE (Shareholder Association for Research & Education), an award-winning Canadian non-profit organization and leading responsible investment advisor to pension funds, foundations, universities, asset managers, Indigenous trusts, and religious organizations. For twenty years, SHARE has facilitated and supported shareholder engagement and proxy voting as well as education, policy advocacy, and research on emerging responsible investment issues. SHARE will be responsible for developing and executing an annual plan for investor engagement. Participants will have the opportunity, through the advisory committee, to provide feedback and input into the plan each year.

**What additional benefits will your university receive?** The program will provide participants with regular reports on investor engagement activities, successes, and progress against objectives, including materials that can be shared publicly with university stakeholders to demonstrate to the university community how its pension and endowment funds are acting on climate change. Participants in the program will also be offered the opportunity to tap into a subset of relevant and useful educational events, reports, or initiatives without having to sift through a much wider amount of information. Working with participants, SHARE will convene webinars and post summaries of the most pertinent information on policies, initiatives and other developments that align with the program's objectives and assist participants in keeping abreast of the issues. You'll also have the chance to file shareholder proposals, backed up by SHARE and the program, if and when the university wants to do so.

**What will the program cost our university?** The fees are allocated between participating universities based on the size of the university's portfolio(s). As more universities join the program, the annual fee will be revised to account for the larger pool of participants.

## Appendix 6: Impact GIC Reports

### Investment Details – Sunshine Coast Credit Union

The University of Victoria is supporting socially responsible investing with a deposit in an IMPACT GIC through the [Cash Management Group at Canaccord Genuity](#). The University's deposit of \$2 million was placed with Sunshine Coast Credit union – a local credit union based on BC's coast.

[IMPACT GICs](#) are Guaranteed Investment Certificates (GIC) that are aligned to fund one or more of the United Nations Sustainable Development Goals (SDGs) through loans in communities across Canada. This is known as the positive screening process.

UVIC's investment is supporting 4 of the 17 SDGs:

- #2 – Zero Hunger
- #3 – Good Health and Well-Being
- #10 – Reduced Inequalities
- #12 – Responsible Consumption and Production



Source: United Nations, [Sustainable Development Goals](#)

IMPACT GICs also go through a negative screening process to ensure funds are lent out in a sustainable way. Negative screening encompasses 10 categories of activities that must be avoided such as *fossil fuels*, *fast fashion*, and *institutions with poor human rights* for example.

### Investment Details – Aldergrove Credit Union

The University of Victoria is supporting socially responsible investing with a deposit in an IMPACT GIC through the [Cash Management Group at Canaccord Genuity](#). The University's deposit of \$3 million was placed with Aldergrove Credit Union – a credit union based in the heart of the Fraser Valley.

UVIC's investment is supporting the SDGs in one featured IMPACT GIC loan story with [Myers Organic Farms](#):

**Myers Organic Farms** is a family-run certified organic produce farm in the heart of the Fraser Valley in British Columbia. When Bob and Marlene Myers started their organic farm 25 years ago, in 1995 with just two acres, they never imagined that it would blossom to a successful, full-time operation. Today, their 120-acre agriculture farm offers over 30 varieties of vegetables,

*blueberries, and employs over 25 families, along with their own children, Brock and Nicole, and granddaughter Mila. Bob and Marlene's philosophy is simple: Give the consumer, healthy, fresh, quality organic produce while preserving the soil for future generations.*

*Myers Organic Farms supplies wholesale and retail outlets across Canada and the United States with healthy, organic and sustainable produce. Their operations contribute to the Sustainable Development Goals of Zero Hunger and Responsible Consumption and Production.*

[IMPACT GICs](#) are Guaranteed Investment Certificates (GIC) that are aligned to fund one or more of the United Nations Sustainable Development Goals (SDGs) through loans in communities across Canada. This is known as the positive screening process.

UVIC's investment is supporting 2 of the 17 SDGs:

- #2 – Zero Hunger
- #12 – Responsible Consumption and Production



Source: [United Nations](#)

IMPACT GICs also go through a negative screening process to ensure funds are lent out in a sustainable way. Negative screening encompasses 10 categories of activities that must be avoided such as *fossil fuels*, *fast fashion*, and *institutions with poor human rights* for example.

[Rhiza Capital](#), a market-leading consultant firm passionate about supporting impactful investing, will confirm IMPACT GIC loan activity and provide reports to investors. Reports will be provided quarterly to include total loans, allocations, and at least one 'loan story'. The loan story will detail how the financial institution's lending has made a positive impact in one of the eligible areas mentioned above. This will include the receiving organization's name, industry, and activity.





University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**September 14, 2020**

**FOR ADVICE**

**To: OPERATIONS AND FACILITIES COMMITTEE**

**From: VICE-PRESIDENT FINANCE AND OPERATIONS**

**cc: President and Vice-Chancellor**

**Meeting Date: September 29, 2020**

**Subject: Bamfield Accident – Response to External Report and Status Update**

**Basis for Jurisdiction:** Committee's Terms of Reference

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**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.*

**For the Board's consideration:**

- Does the Operations Committee support the proposed reporting timeline of January and June 2021?
- Does the Operations Committee have any feedback on the priorities, timing, or approach to the response?

**Background:**

On September 13, 2019 a bus accident on the road to the Bamfield Marine Sciences Centre resulted in the death of two UVic students, Emma Machado and John Geerdes, as well as injuries to many other students. Following the accident UVic engaged Ross Cloutier, an outdoor-related risk management professional, to review university policies, pre-trip information and planning processes; interview students, parents and university employees; and visit the accident site and



the Bamfield facility. His report, *Conducting Field Schools to the Bamfield Marine Sciences Centre* (BMSC), was released in June 2020 and made 43 recommendations of varying complexity. UVic fully accepts all 43 recommendations.

Gayle Gorrill is the Executive Lead on the Bamfield Accident and has formed the Bamfield Response Coordination Committee to implement changes resulting from the 43 recommendations in Mr. Cloutier's report. The committee includes representation from the Faculty of Science, Student Affairs, Campus Security, Risk Management, Communications, and the BMSC.

### **Status Update Summary:**

The Bamfield Response Coordination Committee has reviewed all 43 recommendations. In order to ensure the appropriate prioritization, sequencing and timeliness of implementation, these recommendations have been grouped into 12 projects (see appendix A.) This approach also allows for better coordination of resources and planning for campus consultation. Some recommendations are included in more than one project due to interdependencies (see appendix B.)

The following recommendations are accepted and now complete (see appendix B):

Recommendation #3) The university should ensure that all future trips to the BMSC travel and arrive during daylight hours.

Recommendation #4) The university should require the collection of emergency contact information for each student.

Recommendation #20) Transportation methods to the BMSC should make use of professional charter bus companies or the Lady Rose Marine Service and the MV Frances Barkley.

For the remaining 40 recommendations, 20 are currently in progress and 20 are in planning. A number of recommendations are expected to be complete or substantially complete by December 31, 2020 and all of the recommendations except one are expected to be completed by June 30, 2021. The remaining outstanding recommendation is the opportunity for students on the bus to be able to visit Bamfield. The timing of this trip will depend on the implications of COVID-19 (Bamfield is currently closed to the public and is expected to remain closed until at least May 2021) and the needs of the students.

Risks to project timelines include the potential requirement to develop policies, procedures or templates to support field schools or trips more broadly across campus. The diversity of such programs and the requirement to consult broadly to ensure the development of appropriate policies and procedures may impact timelines. Recommendations related to travel and trip planning will be completed before future trips to Bamfield occur.

On September 11, the Government of BC announced funding for the road in partnership with the Huu-ay-aht First Nations. The University of Victoria is grateful for this investment to improve Bamfield Road safety. The external consultant noted in his report that with appropriate road improvements, a number of the considerations for safe travel may not be necessary. Accordingly, we will continue with implementation of the recommendations and assess any effects of the road improvements on how the recommendations are implemented.



**Proposed next steps and timelines:**

The Bamfield Response Coordination Committee will provide progress updates on activities to address the 43 recommendations. Progress updates will be provided at the January 2021 and June 2021 Board meetings. While the scope of Mr. Cloutier's report specifically assesses trips to the BMSC, UVic will apply the recommendations to field schools and other travel programs across campus where possible.

UVic will not utilize buses for field trips to Bamfield until the pertinent recommendations are implemented.

**Attachment(s):**

Appendix A – Projects Status Table

Appendix B – Recommendations Status Table

## APPENDIX A – Projects Status Table

### Status description (legend):

**In progress** – Project is progressing on schedule.

**In Planning** – Project is in planning.

**Completed** – Project is complete.

**Challenge** – Project is still progressing, but behind schedule. See notes for further details.

**Stalled** – Project is stalled, see notes for further details.

Project Description		Recommendations	Status	Start	End	Comments
1	<b>Planning Activity Standards:</b> The university will develop resources to advise trip leaders on the documentation required when arranging group activities.	#1, #4, #6, #7, #11, #12, #23	In progress	01-JUN-20	30-APR-21	The pre-planning activities that are captured in this category represent a body of work that will directly relate to future BMSC Field Schools but will also apply more broadly to the campus community. It is expected that for BMSC Field Schools this recommendation will be completed by April 30, 2021. The target of April, 30 2021 for the broader cross institutional program is ambitious given the need for consultation, change management and the development of dedicated supports and resources.
2	<b>Biology Planning Activities:</b> Biology will review its field school planning and will implement the planning standards developed by the university.	#1, #2, #3, #5, #6, #7, #8, #9, #11, #12, #17, #23	In progress	01-NOV-20	31-MAY-21	Activities in this project will generally be undertaken after the Planning Activity Standards project. All activities will be completed before the next trip to Bamfield.

Project Description		Recommendations	Status	Start	End	Comments
3	<b>Contract Management:</b> The university will provide guidance to ensure that trip leaders understand contractual arrangements and their responsibility. The university will include this as part of the evaluation indicated in #16.	#17	In progress	01-JUN-20	30-APR-21	
4	<b>Response Planning:</b> The university will review our existing response planning including ensuring that planning considers off campus events.	#10, #24, #25, #26, #27, #28	In progress	01-JUN-20	30-APR-21	
5	<b>Support and Resources for Impacted Community:</b> Review and identify units on campus and how they may be involved in the response to incidents. Develop appropriate training requirements and orientation to be offered broadly. Determine our relationship and accountability for working with families in an incident. Identify resources for students, family, faculty, and staff to support them in an emergency.	#32, #33, #38, #39, #40	In planning	01-OCT-20	30-APR-21	
6	<b>Human Resource Management:</b> Ensure that our response to events is scalable and that we are resourced appropriately. Ensure that we are incorporating principles of worker care into our response.	#37, #41, #42, #43	In planning	01-OCT-20	30-APR-21	

Project Description		Recommendations	Status	Start	End	Comments
7	<b>Response Debrief:</b> Incorporate reflection and lessons learned into the work of all the groups implementing recommendations. Reflection should also include ideas that may not have been included in the report, but that we should consider moving forward. Develop debrief protocols for inclusion into Emergency Response Procedures	#29	In progress	01-AUG-20	30-JUN-21	
8	<b>Waiver and Informed Consent Program:</b> The Waiver and Informed Consent Program will be reviewed and communicated to departments across the university.	#2	In progress	01-JUN-20	31-OCT-20	
9	<b>Visiting Bamfield:</b> Provide an opportunity for students to visit Bamfield. Incorporate feedback from students and University Counsellors. Timing of trip will be dependant upon COVID-19.	#19	In progress	01-FEB-20	TBD (COVID conditional)	

Project Description		Recommendations	Status	Start	End	Comments
10	<b>General Transportation to Bamfield:</b> The university will review recommendations with BMSC to determine if a coordinated approach can be developed for all travellers to BMSC. The university will support the Huu-ay-aht First Nations, students, families, and the Bamfield community to advocate for the Government of BC to make improvements to the road.	#13, #14, #15, #21, #22	In progress	01-JUN-20	30-JUN-21	Advocacy for road improvements has been undertaken in support of First Nations and the Bamfield community. Province announced funding for road improvements on September 11, 2020. Implications on the recommendations will be assessed.
11	<b>UVic Transportation to Bamfield:</b> The university will require use of a field school hazard assessment and control program to assess the appropriateness of various modes of transportation for group student travel.	#16, #18, #20	In progress	25-JUN-20	30-JUN-21	
12	<b>Student Affairs Programming:</b> Ensure that our response to critical events is integrated, scalable and connected to the (Emergency Operations Center) EOC. Ensure that we are effectively communicating with students and parents and incorporating principles of worker care into our interactions.	#30, #31, #34, #35, #36	In progress	01-MAY-20	01-FEB-21	

## Appendix B – Recommendations Status Table

### Status description (legend):

**In progress** – Activity is progressing on schedule.

**In planning** – Activity is in planning.

**Completed** – Activity is complete.

**Challenge** – Activity is still progressing, but behind schedule.

**Stalled** – Activity is stalled.

Recommendation		Project Linkage	Status	Start	End
1	A detailed information package should be provided to students that includes more information about activities that will be participated in while at the BMSC and a link to the BMSC informational webpage. This should be available prior to the point in which students register and pay for the trip. The in-person information session held by the senior laboratory instructor is a very good practice and should form the basis for a stronger written information package.	Planning Activity Standards	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21
2	The University's procedures for the administration of Waivers and Informed Consent should be reviewed and departments informed as to what is correct process, form structure, and content.	Waiver and Informed Consent Program	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21

Recommendation		Project Linkage	Status	Start	End
3	The University should ensure that all future trips to the BMSC travel and arrive during daylight hours.	Biology Planning Activities	Complete/ Accepted	01-Jun-20	
4	The University should require the collection of emergency contact information for each student.	Planning Activity Standards	Complete	01-Jun-20	01-Aug-20
5	The Department of Biology should renew the BMSC field school hazard assessment and control documentation.	Biology Planning Activities	In progress	01-Sept-20	30-Apr-21
6	University Administration should provide direction to departments regarding suitable field school supervision standards and group leader qualifications.	Planning Activity Standards	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21
7	The University should update their BMSC field school hazard assessment and control program.	Planning Activity Standards	In progress	04-Sept-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21
8	A refreshing of BMSC field school planning is necessary and should be undertaken by the Department of Biology and approved by the University's Administration.	Biology Planning Activities	In planning	01-Nov-20	30-Apr-21



Recommendation		Project Linkage	Status	Start	End
9	The Department of Biology should work with the BMSC to undertake a scenario planning exercise that looks at possible events at the BMSC and ensures that appropriate prevention and response systems are in place for each hypothetical event. Scenario planning is articulated in a hazard assessment and control document, (which could also be called a risk management program).	Biology Planning Activities	In planning	01-Nov-20	30-Apr-21
10	The University's emergency response planning documentation should be reviewed and amended to better facilitate field school and off-campus emergency response.	Response Planning	In progress	01-Jun-20	30-Apr-21
11	The University should evaluate the level of emergency response equipment carried on field schools and the level of training required of group leaders.	Planning Activity Standards	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21
12	The Department of Biology should be more attentive to the terms included in service provider contracts, ensure the terms are appropriate and consistent, and check to see that contracted services are provided.	Planning Activity Standards	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21

Recommendation	Project Linkage	Status	Start	End
13	The University should review its communication protocols for BMSC field schools and provide telephone technology when possible. It may be necessary to carry out first-person research about where telephone technology works on the Bamfield Main road and where it does not. This could be mapped.	General Transportation to Bamfield	In progress	01-Jun-20 30-Jun-21
14	The University should ensure that VHF radio vehicle-to-vehicle communications are implemented on the Bamfield Main road. This will entail acquiring the proper radio equipment, a licensed radio operator, and permission from Western Forest Products (WFP) to use the posted radio frequency.	General Transportation to Bamfield	In progress	01-Jun-20 31-Dec-21
15	The WFP web page relies upon the occasional Twitter postings of WFP staff and a way to ensure these posts are at least daily should be found.	General Transportation to Bamfield	In progress	01-Jun-20 30-Apr-21
16	In many ways, the basis of this report revolves around an evaluation of whether buses are suitable transportation vehicles for groups on the Bamfield Main road. Buses clearly are and can be used safely when driven appropriately to road conditions, with driver spatial awareness, during daylight hours, with care, with enforced travel itineraries, and with applicable communication and safety technology. These factors are those that should be applied by the University for future transportation needs.	UVic Transportation to Bamfield	In planning	01-Jan-21 30-Jun-21

Recommendation		Project Linkage	Status	Start	End
17	Recognizing that charter transportation companies are not in charge of schedules, trip itineraries, or group discipline and enforcement, the University should develop bus transportation protocols and be sure that appropriate staff are on the bus to implement their use. The University should not look to the driver to enforce these procedures but should contract transportation providers who can provide what the University needs in order to achieve them. This will include such things as pre-determined itineraries, decision-making that adheres to these itineraries, resource road radio systems, enforcement of seatbelt use, and arrival during daylight hours, among other topics.	Contract Management	In progress	01-Jun-20	30-Apr-21
		Biology Planning Activities	In planning	01-Nov-20	31-May-21
18	Using the MV Frances Barkley may be useful for some University of Victoria field schools and a review of a variety of schedules using this ship should be carried out.	UVic Transportation to Bamfield	In planning	01-Jan-21	31-May-21

Recommendation		Project Linkage	Status	Start	End
19	There is still a significant amount of trauma for some students and families around the University of Victoria's mode of transportation to the BMSC. For May 2020 field trips to the BMSC, it is worthwhile for the University to consider not compounding any negative impacts and to use an alternative mode of travel rather than a chartered bus. Additionally, be aware that September 2020 field schools to the BMSC may be associated with the anniversary of the 2019 accident and create similar impacts. The alternative is to use very conservative bus transportation methods as described in the Conclusion of this report. University counsellors who are working with the students presently will be able to give some perspective on student reaction to bus transportation in the short term.	Visiting Bamfield	In progress	1-Feb-20	TBD
20	Transportation methods to the BMSC should make use of professional charter bus companies or the Lady Rose Marine Service and the MV Frances Barkley.	UVic Transportation to Bamfield	Accepted/ Complete	25-Jun-20	



Recommendation		Project Linkage	Status	Start	End
	clarify what is the appropriate employment status, qualifications, experience, training, and preparation for leading field schools. If there is a difference identified between curricular and extra-curricular trips this also needs to be clarified.	Biology Planning Activities	In planning	01-Nov-20	31-May-21
24	<p>Reassess the management structure and decision-making process for the University's incident response.</p> <ul style="list-style-type: none"> <li>• Establish a less subjective system for determining when a Critical Incident Response Team (CIRT) and EOC is formed and an SRT implemented.</li> <li>• Adopt an organized incident management system such as an adapted Incident Command System (ICS) that includes roles for the functions of Student Services. (A normal command and control ICS structure may not be well received at a collegial academic institution and will need to be adapted).</li> <li>• Provide EOC and IC training for the people who are to assume the roles, adapting the classical models to the university setting. The ICS structure is built for seamless inter-agency response and needs to be adapted for internal university response use (for example, including Student Service units).</li> </ul>	Response Planning	In planning	01-Nov-20	30-Apr-21



Recommendation		Project Linkage	Status	Start	End
27	Implement a Site Response Team (SRT) and Emergency Coordination Centre (EOC) when an incident meets the established criteria.	Response Planning	In planning	01-Nov-20	30-Apr-21
28	Implement a separate point-of-contact early in the response. Campus Security, while being a convenient first point-of-contact, is not the unit that should be handling parent and student inquiries for academic or service questions.	Response Planning	In planning	01-Nov-20	30-Apr-21
29	A University debriefing session should be held to provide the opportunity for units to share lessons learned, identify process gaps, and develop forward-looking best practices.	Response Debrief	In progress	01-Aug-20	30-Jun-21
30	Because the case management model worked well in this incident, affirmed by the different units, this model should be expanded to be more inclusive and more quickly implemented if needed.	Student Affairs Programming	In progress	01-May-20	01-Feb-21
31	Should the need arise in the future for the Department of Biology to support students in this manner, the Department of Biology should better coordinate its counselling, academic advice and course concessions with applicable Student Service units (see Academic Advising below).	Student Affairs Programming	In planning	01-Oct-20	01-Feb-21



Recommendation		Project Linkage	Status	Start	End
32	Operational units such as Residence Services are a familiar point of contact for many students and their families. Residence Services should be incorporated into incident management considerations and their operating limits accounted for when decisions are made that may impact them.	Support and Resources for Impacted Community	In planning	01-Oct-20	30-Apr-21
33	In events of this nature, this unit should activate the case management system early, link families to external resources such as Insurance Corporation of British Columbia (ICBC) and Emergency Management British Columbia (EMBC), expect clarity of internal and external institutional procedures, ask for direction about what level of parental involvement and counselling is to be provided, and confirm the use of internal or external resources.	Support and Resources for Impacted Community	In planning	01-Nov-21	30-Apr-21
34	Counselling Services should be consulted for input into student interactions with the Machado and Geerdes families. Both students and families are interested in pursuing this interaction.	Student Affairs Programming	In progress	01-Jun-20	01-May-21
35	Develop an on-call and ramp-up strategy for Student Services.	Student Affairs Programming	In planning	01-Oct-20	01-Feb-21
36	Develop an organized and interdisciplinary student case management model with defined roles and responsibilities unit by unit and implement inter-unit case management sessions during the response.	Student Affairs Programming	In progress	01-May-20	01-Feb-21

Recommendation		Project Linkage	Status	Start	End
37	Plan for the ability to quickly provide staffing resources to the Office of Student Life, Counselling, and other units to enable a rapid expansion of services and the reallocation of roles to meet emergency management needs.	Human Resource Management	In planning	01-Nov-21	30-Apr-21
38	Develop protocols for what resources can be provided to non-student and family stakeholders.	Support and Resources for Impacted Community	In planning	01-Nov-21	30-Apr-21
39	Provide direction to Student Service units for processes and timelines to “return to standard operating procedures.”	Support and Resources for Impacted Community	In planning	01-Nov-21	30-Apr-21
40	Develop resource material that staff can share about the University’s crisis event family travel reimbursement and expense policy, availability of public and private health services, various insurance resources, and Province of B.C. emergency funding.	Support and Resources for Impacted Community	In planning	01-Nov-21	30-Apr-21
41	Create a management process that recognizes that 16-hour workdays in a crisis for weeks on end are not sustainable. Protocols are needed to provide more support to staff, certainty of time off, and recognition of potential for personal and professional burn-out.	Human Resource Management	In planning	01-Nov-21	30-Apr-21
42	Acknowledge that a mass event has much higher levels of demands that cannot be carried out indefinitely without significant additional resources provided in a timely manner.	Human Resource Management	In planning	01-Nov-21	30-Apr-21

Recommendation		Project Linkage	Status	Start	End
43	Balance the level of service provided to single-person events with that provided for multi-person events. Mass events tend to get more attention, but single-person events are just as urgent to that person.	Human Resource Management	In planning	01-Nov-21	30-Apr-21




University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR INFORMATION**

September 16, 2020

**To:** Operations and Facilities Committee

**From:** Jamie Cassels, President and Vice-Chancellor 

**cc:** Valerie S. Kuehne, Vice-President Academic and Provost  
Tony Eder, Executive Director, Academic Resource Planning

**Meeting Date:** September 29, 2020

**Subject:** Strategic Framework Implementation Report 2019/20

**Basis for Jurisdiction:** University Act, Section 27(1)  
Board Procedures, Section 8.1

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**Strategic Relevance:** The University of Victoria's Strategic Framework 2018-2023 articulates our shared understanding of our vision, values and priorities. It serves as a guide to our entire university's future, outlining six strategic areas where we should focus our efforts: cultivate an extraordinary academic environment; advance research excellence and impact; intensify dynamic learning; foster respect and reconciliation; promote sustainable futures; and engage locally and globally.

**Background:** After eight months of consultation with more than 2,500 people, the Board of Governors approved the Strategic Framework on May 29, 2018 (BOG-May29/18-22). It officially launched on Sept. 19, 2018.

Implementation of the framework is coordinated through the university's Integrated Planning Committee—comprised of vice-presidents and associate vice-presidents from all portfolios—to ensure a focused and collaborative approach. The committee sets institutional planning priorities and allocates resources across the university in a manner that is closely aligned with the priorities and goals of the framework.

The report, a light-touch update this year given the attention required to manage the university's response to the COVID-19 pandemic, honours our commitment to taking an accountable and transparent approach to implementing the framework. It is also an opportunity to celebrate our progress over the past year while identifying opportunities for further progress towards achieving our goals and vision.

**Summary:** UVic continues to embed the Strategic Framework across the entire university, building on the efforts of the first year and incorporating the goals into new initiatives. Despite the unanticipated impact of COVID-19 on the university community, important investments have been made in student supports and other areas that further the priorities outlined in the Strategic Framework.

The updated graphs and examples included in the second annual Strategic Framework Implementation Report demonstrate the progress over the past year toward achieving our vision and goals. This progress would not have not been possible without the work of UVic's dedicated faculty and staff across the entire university in every portfolio. The examples chosen for inclusion reflect many of our collective accomplishments and successes, but the report is not a comprehensive account of all of the university's achievements over the past year.

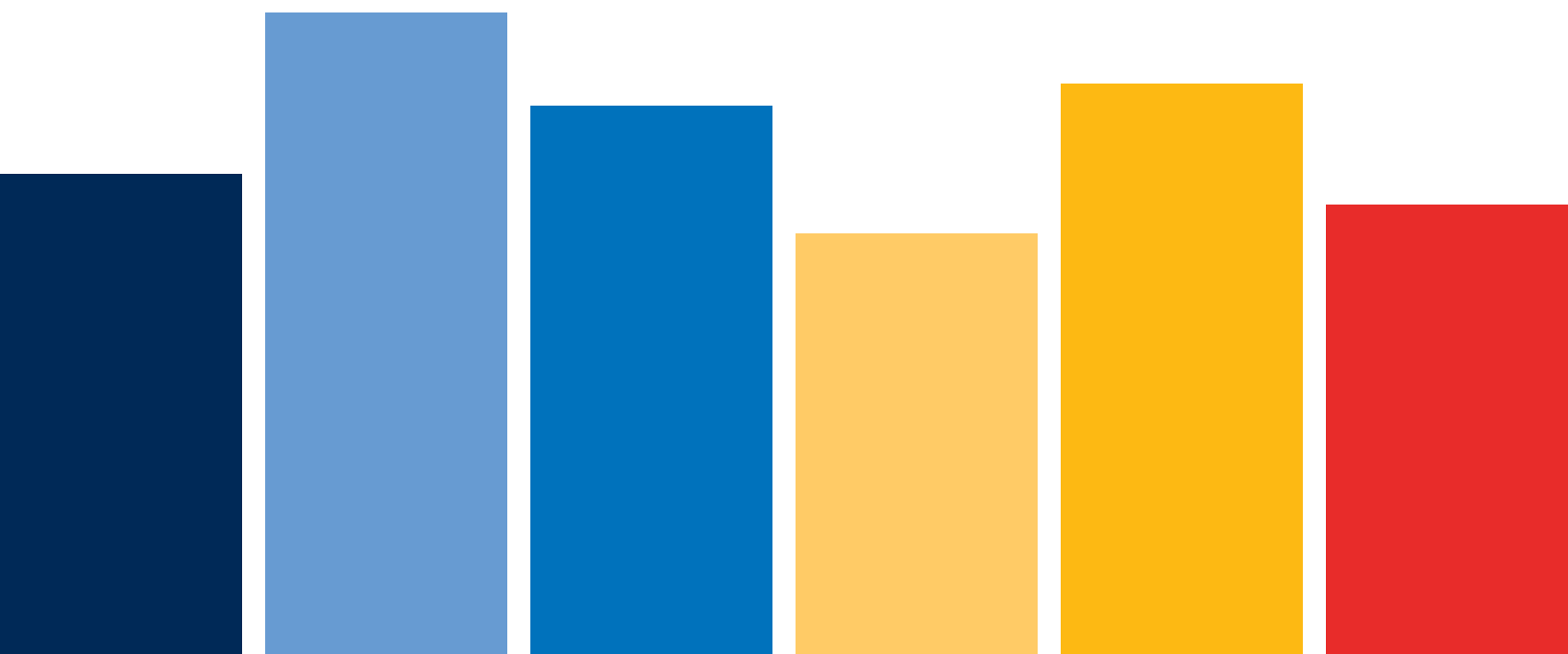
During the second year of implementation, we continued our progress toward the goal of being the Canadian research university that best integrates outstanding scholarship, engaged learning and real-life involvement to contribute to a better future for people and the planet.

**Planned Further Action:**

- Share the annual implementation report with Senate at the 5 October meeting.
- Make the report available to the community as a downloadable PDF at [www.uvic.ca/strategicframework](http://www.uvic.ca/strategicframework)

**Attachment(s):** Strategic Framework Implementation Report 2019/20

# STRATEGIC FRAMEWORK IMPLEMENTATION REPORT 2019/20



YEAR 2



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# Message from the president

I am pleased to present this year's report on the implementation of the University of Victoria Strategic Framework, 2018-2023. This is our second opportunity to update the UVic community on the progress we have made and ensures that we continue to uphold our commitment to an accountable and transparent approach to implementation.

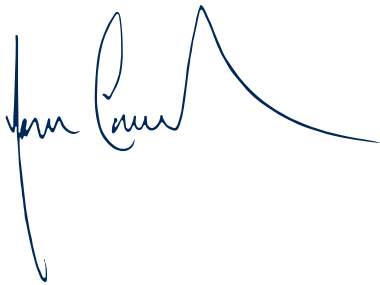
The report highlights institutional achievements from the past year, documenting our progress in alignment with the Strategic Framework while also highlighting how our community rose to the challenge of the unprecedented global pandemic. While there is no question that this past year has been unlike any other, all that we have accomplished together in the shadow of the COVID-19 crisis is truly remarkable.

I am reminded that this university's greatest strength is its talented people working collaboratively towards our mission of education, research and engagement. Thank you to everyone who has contributed to our university's efforts over the past year. I have been grateful for your dedication and flexibility, especially through these recent uncertain times.

This past year we continued to make great progress toward our goal of being 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.

As we emerge from these challenging times, our university's contributions will be more critical than ever to building a strong and healthy future for our local and global communities. I have every confidence that our extraordinary university is well positioned for its future.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Jamie Cassels', with a long, sweeping underline.

Professor Jamie Cassels, QC  
President and Vice Chancellor  
University of Victoria



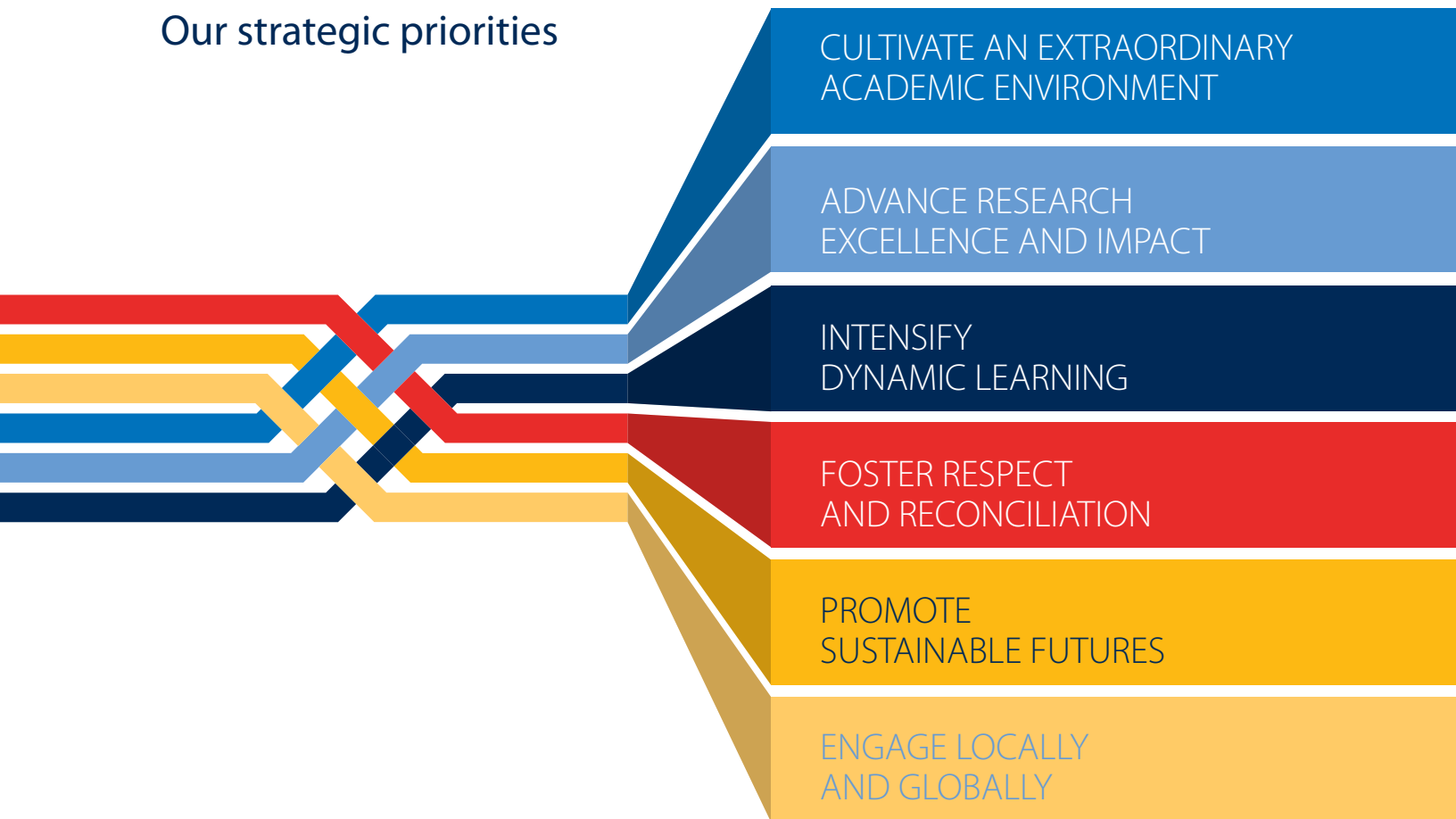
# Territorial acknowledgment

We acknowledge with respect the Lekwungen peoples on whose traditional territory the University of Victoria stands, and the Songhees, Esquimalt and W̱SÁNEĆ peoples whose historical relationships with the land continue to this day.

## Background

The [University of Victoria's Strategic Framework 2018-2023](#) establishes the vision and direction of the university. It outlines six key areas where we as an institution should focus our priorities, goals and efforts. While each area is articulated separately in the Strategic Framework, they all weave together to create a unified guide to our future.

### Our strategic priorities



### Embedding the Strategic Framework

The university continues to embed the Strategic Framework across the entire university, building on the efforts of the first year and incorporating the goals into new initiatives. Despite the unanticipated impact of COVID-19 on the university community, we have been able to make important investments in student supports and other areas that further the priorities outlined in the Strategic Framework. Many of those investments are highlighted throughout this report.

Visit [uvic.ca/strategicframework](https://uvic.ca/strategicframework) for more information about the Strategic Framework.

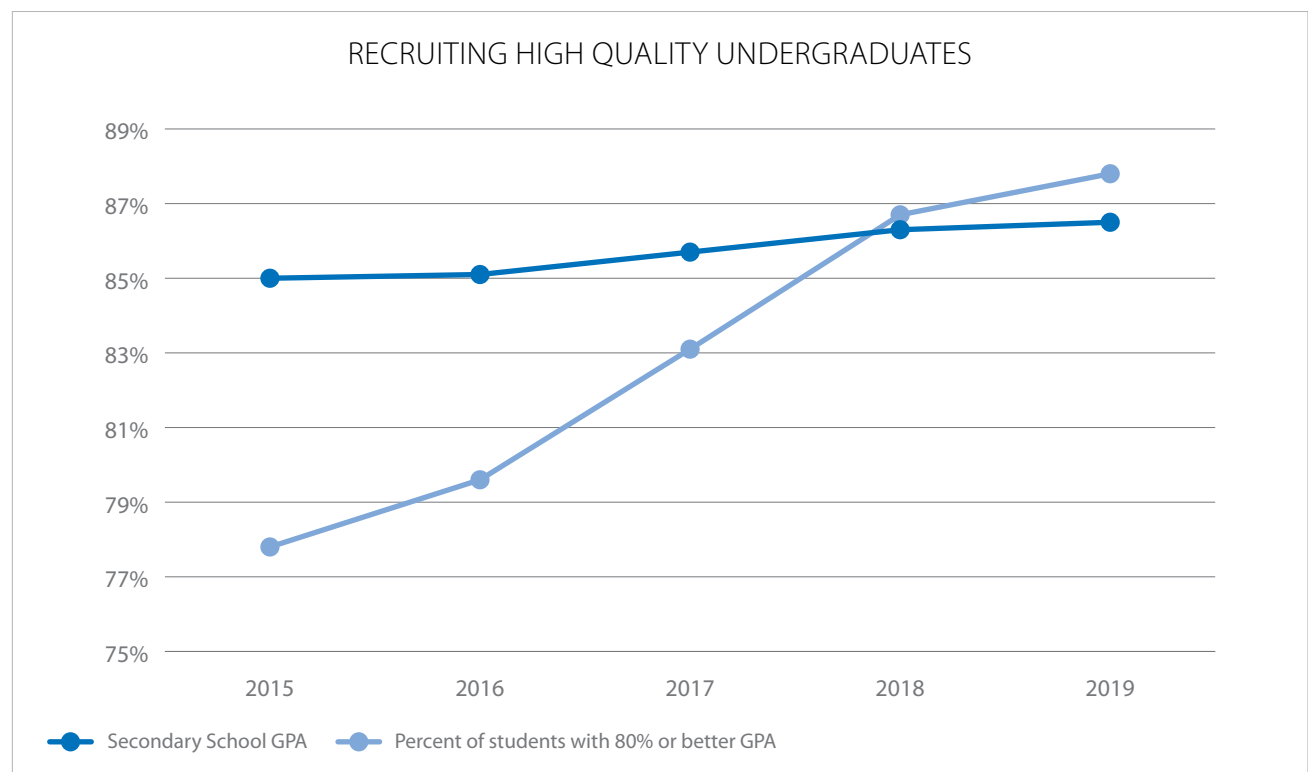
# Highlights from 2019/20

At the University of Victoria, we are deeply committed to contributing to a better future for people, places and the planet. The following examples and graphs, while far from a comprehensive account, demonstrate much of the work we have accomplished during our second year implementing the Strategic Framework toward achieving our mission and goals within our six key areas.

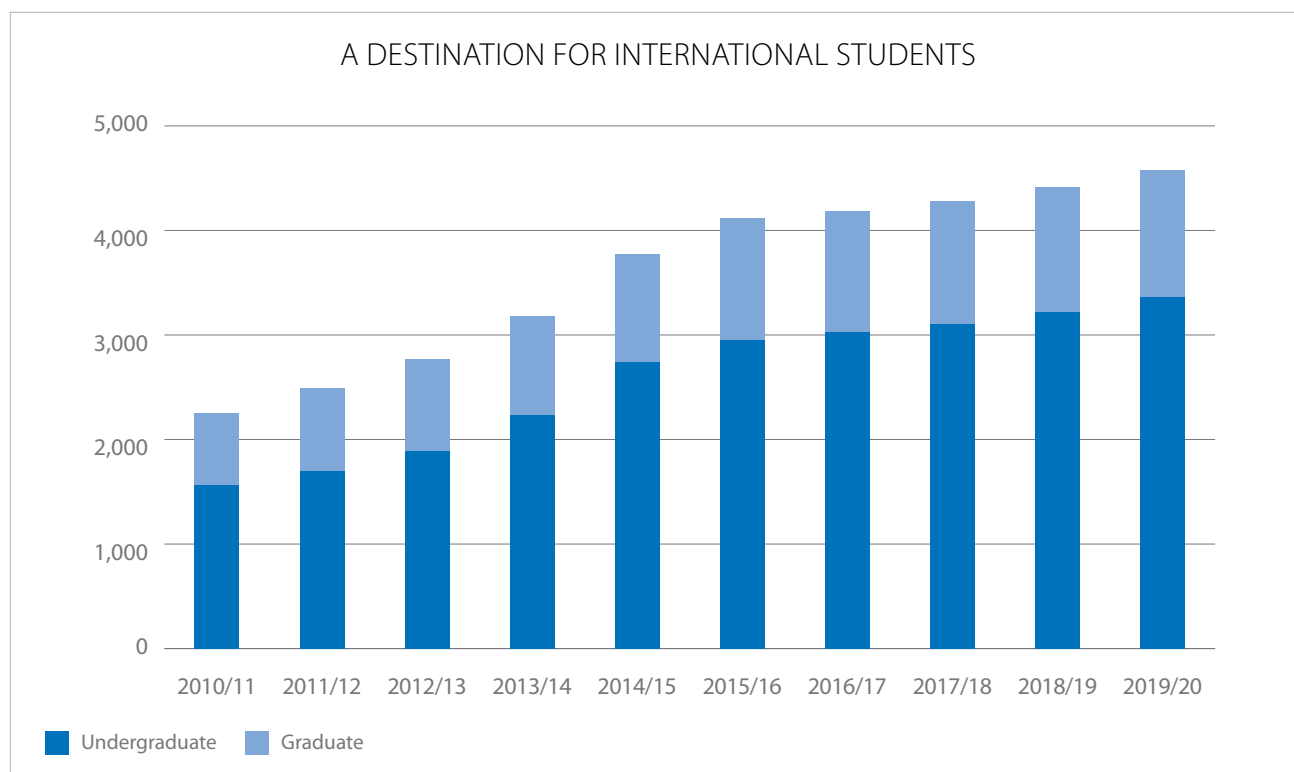
## CULTIVATE AN EXTRAORDINARY ACADEMIC ENVIRONMENT

**Our goal is to be recognized internationally as a university of choice for talented students, faculty and staff.**

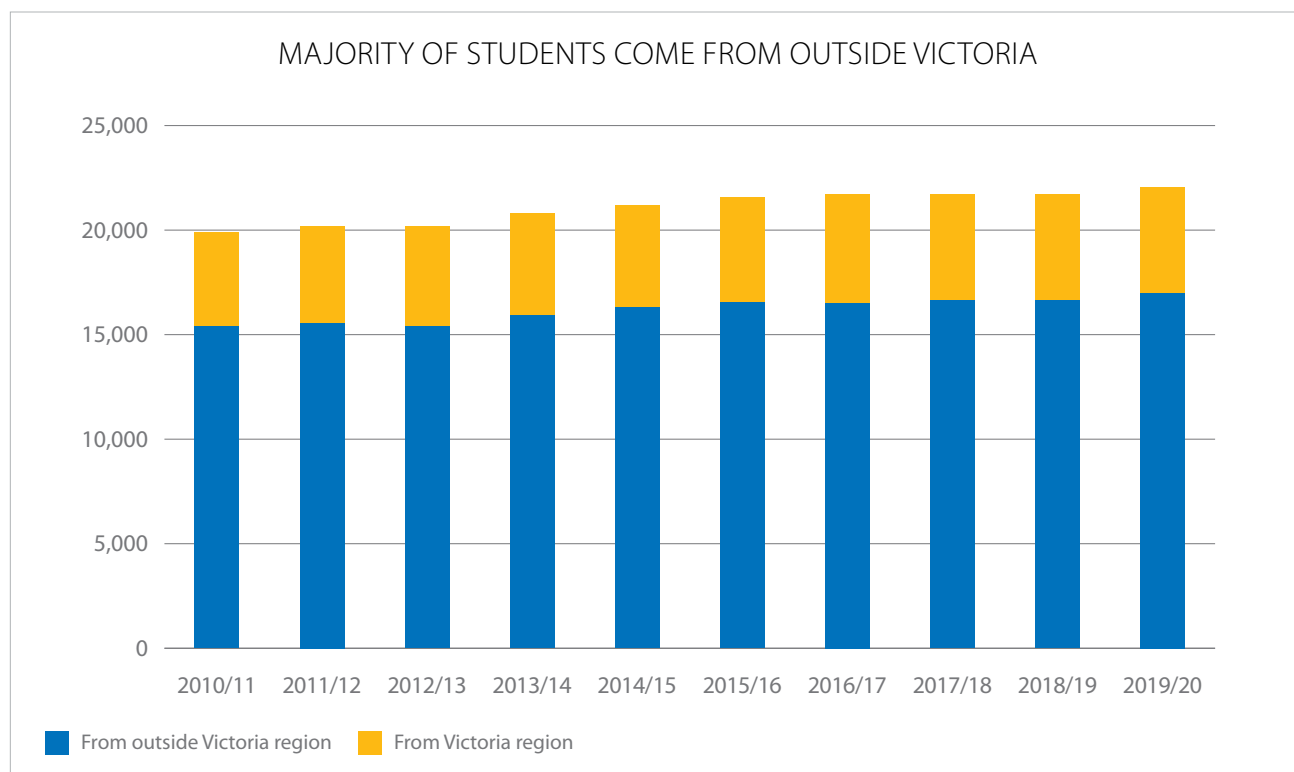
People make our university. That's why our institutional plans, including the recently launched Strategic Enrolment Management Plan, are positioning us to attract, support and develop a diverse community of talented students, faculty and staff. Through equity initiatives, we are building a better and more inclusive campus for everyone.



*Figure 1: We have made progress towards our Strategic Enrolment Management (SEM) goal of increasing the percentage of first-time enrolling students who have an entering average of 80% or higher from 79% to 89% by 2024.*



**Figure 2:** We have grown international enrolment to an optimal percentage, given our size. As per SEM, instead of increasing the overall international enrolment of our undergraduate population, we aim to strengthen the diversity and faculty-representation of international students while keeping enrolment at approximately 17%.



**Figure 3:** The majority of our students come from outside of the Greater Victoria Region. The student housing project currently underway will provide 620 additional beds for students and help make UVic a more welcoming place for new students.

In March 2020, in response to health and safety measures resulting from the **COVID-19 pandemic**, our campus community changed the way it works, with students, faculty and staff adapting quickly to remote environments. Campus services transformed in order to meet the needs of our students and community, with offices and resources moving fully or partially online. The UVic Libraries, for example, offered remote research support and encouraged book pickup, and Mystic Market switched to takeout food options. Support staff remained on campus to maintain UVic's infrastructure, keep the smaller on-campus population safe and secure, and support students in residence return home or move to a single building on site.

Since the shift away from predominantly face-to-face course delivery in March in response to the COVID-19 pandemic, significant investments in **online learning and teaching** have been made to ensure that high-quality academic programs continue to be delivered effectively. By investing in a new Learning Management System and other platforms such as Zoom, Kaltura, Microsoft Teams and CrowdMark, UVic now has a more modern and engaging learning technology ecosystem that will benefit instructors and students post-COVID-19.

UVic is strongly committed to an inclusive and safe campus, and for the ninth time in as many years, we have been recognized as one of **Canada's Best Diversity Employers**. We will continue to implement our Employment Equity Plan 2015-2020, with the primary objective of embedding equity, diversity and inclusion in all that we do. A number of **anti-racism initiatives** are underway, including anti-racism training through the office of Equity and Human Rights; establishing a comprehensive strategy for considering equity, diversity and inclusion in all faculty hiring, promotion and tenure committees; an upcoming symposium on anti-racism; and planned reviews of our discrimination and harassment, human rights and sexualized violence policies. While many efforts are underway, there is a lot more we all can and need to do to advance anti-racism, and we are committed to continuing this work so that all members of our campus community feel safe and welcomed.

UVic students and faculty continue to be recognized through **prestigious national awards**. This year, two students received 3M National Student Fellowships, and one student received the Pierre Elliot Trudeau Foundation Scholarship. Also this year, two faculty received 3M National Teaching Fellowships. Faculty also received the 2020 Killam Prize in Social Sciences from the Canada Council for the Arts, and the Molson Prize Laureate—the first designer in history to do so.

This year, three faculty members were named **President's Chairs**—the university's highest internal honour to recognize faculty who excel in research, teaching and engagement and who will help to advance Strategic Framework priorities. Additionally, the **Strategic Framework Impact Chairs** fund will establish four chair positions this year: Ocean Ecosystem Change and Conservation, Indo-Pacific Studies and Engagement, Transformative Governance for Planetary Health, and Indigenous Art Practices. The \$1.2 million fund was designed to recruit exceptional new faculty who will lead the way in priority areas identified in the framework.

The short-term **UVic COVID-19 Emergency Bursary** was established in April 2020 to support students facing financial hardship as a result of the pandemic. These funds assisted students with a range of needs including job loss, housing, food security, tuition, technology for online learning, child care, mental health, and transportation. In total, the university provided over \$1.4 million in funding to approximately 2,000 students.

In August 2020, we advanced **student mental health** supports through our new Student Wellness Centre—which brings together Counselling, Health and Multifaith Services—and through a 24/7 mental health service. The 24/7 program supports UVic students located locally, nationally and internationally by phone, web and on-demand chat, with options for in-person counselling.

# ADVANCE RESEARCH EXCELLENCE AND IMPACT

**Our goal is to excel in diverse forms of research and creative activity and heighten our place in the top tier of the world's research universities.**

We are working to excel in diverse forms of research and creative activity, advancing human knowledge, improving and enriching lives and tackling global challenges. Our investments in faculty positions, university-wide research initiatives, and a new strategic research plan will help foster high-quality collaborations—heightening our place in the top tier of the world's research universities.

## IN THE **TOP** GLOBAL RANKINGS

The 2019 **QS World University Rankings** by Subject place UVic in the global top 300 for research in:

- Computer science
- Earth & marine sciences
- Education
- English language & literature
- Environmental sciences
- Law
- Mathematics
- Philosophy
- Physics & astronomy
- Psychology

The 2019 **Leiden University Rankings** place UVic **#169** worldwide for research impact across all sciences. UVic is also recognized as a global research leader in the following areas:



**#53** IN MATH & COMPUTER SCIENCE



**#140** IN SOCIAL SCIENCES & HUMANITIES

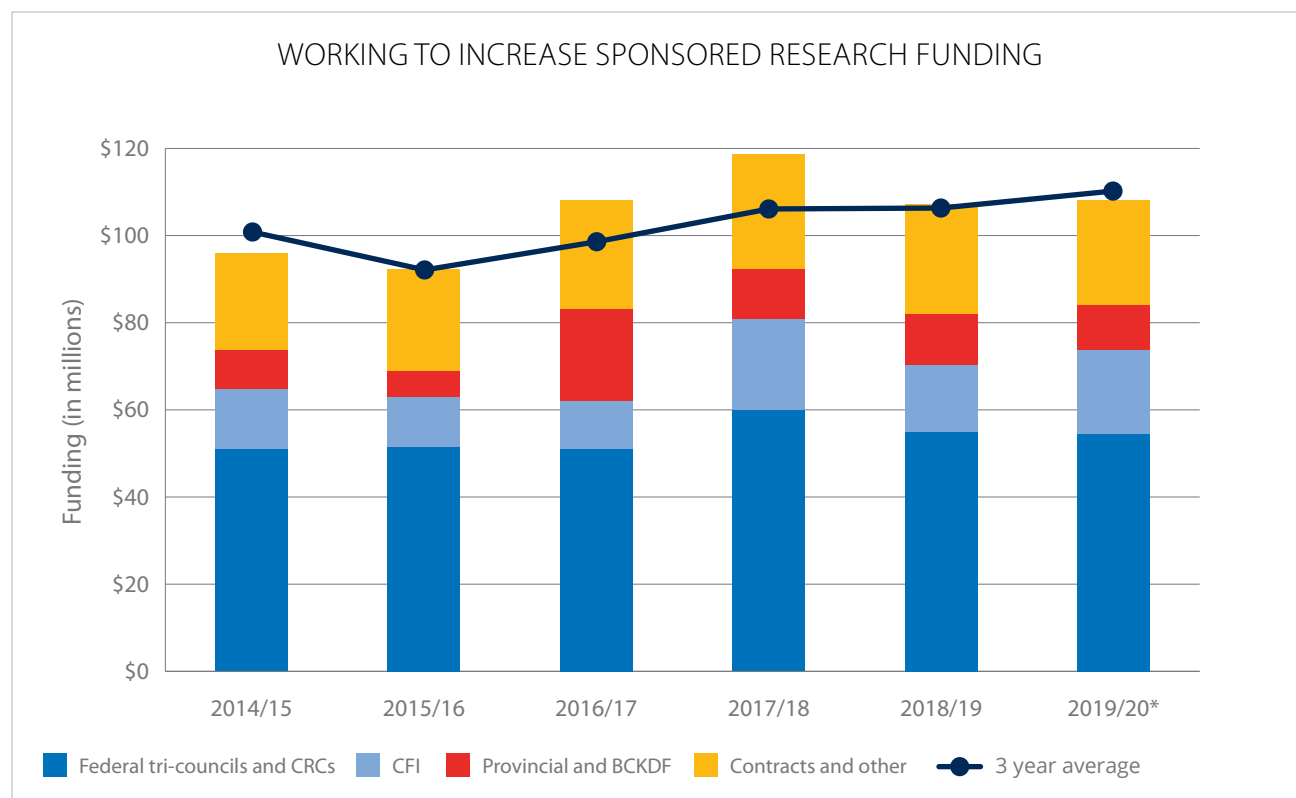


**#107** IN BIOMEDICAL & HEALTH SCIENCES

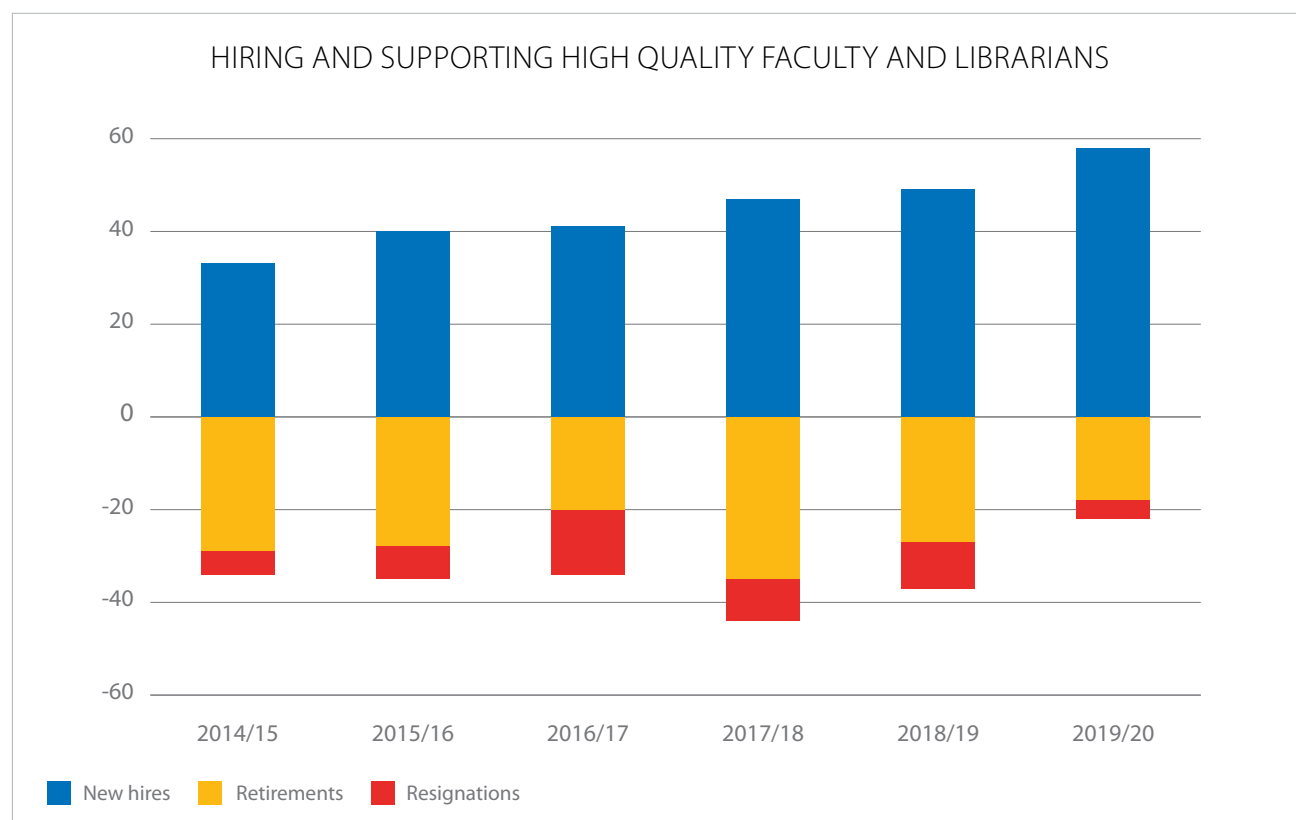


**#248** IN LIFE & EARTH SCIENCES

*Figure 4: We are ranked as one of Canada's leading universities, consistently outperforming our peers—especially for our size. Work is ongoing to improve our international rankings.*



**Figure 5:** UVic has an approximately \$110 million a year research enterprise. Our sponsored research funding has increased from last year and we are seeing an upward trend in monies received since 2014/15. \*Final figures are not available at the time of publication, so best estimates are provided.



**Figure 6:** Faculty renewal hiring over the past five years has been strong. We continue to develop targeted initiatives to recruit and support a diverse and talented community of researchers.

UVic is second among all Canadian universities in **citation impact** per faculty member (QS Rankings, 2020). UVic-based researchers wrote a higher proportion of top-performing papers based on international collaborations than any other university in North America (Leiden Rankings, 2019). We are ranked as the second-best comprehensive school in Canada for the third consecutive year and have consistently ranked in the top three since this ranking's inception (Maclean's, 2020).

UVic researchers pivoted their efforts to help address the **COVID-19 pandemic**, including the creation of face shields for front-line workers, making wash basins with COVID-19-resistant material, building and testing ventilators, producing hand sanitizer, and 3D printing supplies. After needing to urgently close research spaces on campus for health and safety reasons, UVic began a phased resumption of research and creative activity on our campus.

This past summer, UVic launched the **Research Accelerator Fund**. Through this fund, donors can effect meaningful change by directly investing in community-engaged research partnerships that contribute to COVID-19 recovery efforts—locally and beyond—as well as future research projects tackling the most challenging social, economic and environmental issues of our time.

A **Health Sciences Initiative (HSI)** concept paper was released in November 2019. The paper recommends ways to unite health learners, educators and researchers at UVic under a common banner—"advancing lifelong health for all"—and outlines goals and timelines to strengthen partnerships, increase funding for researchers, and create additional programming and funding opportunities for students. The pandemic this year has underscored the importance of vital health research, and UVic intends to be a Canadian leader in this field through the HSI.

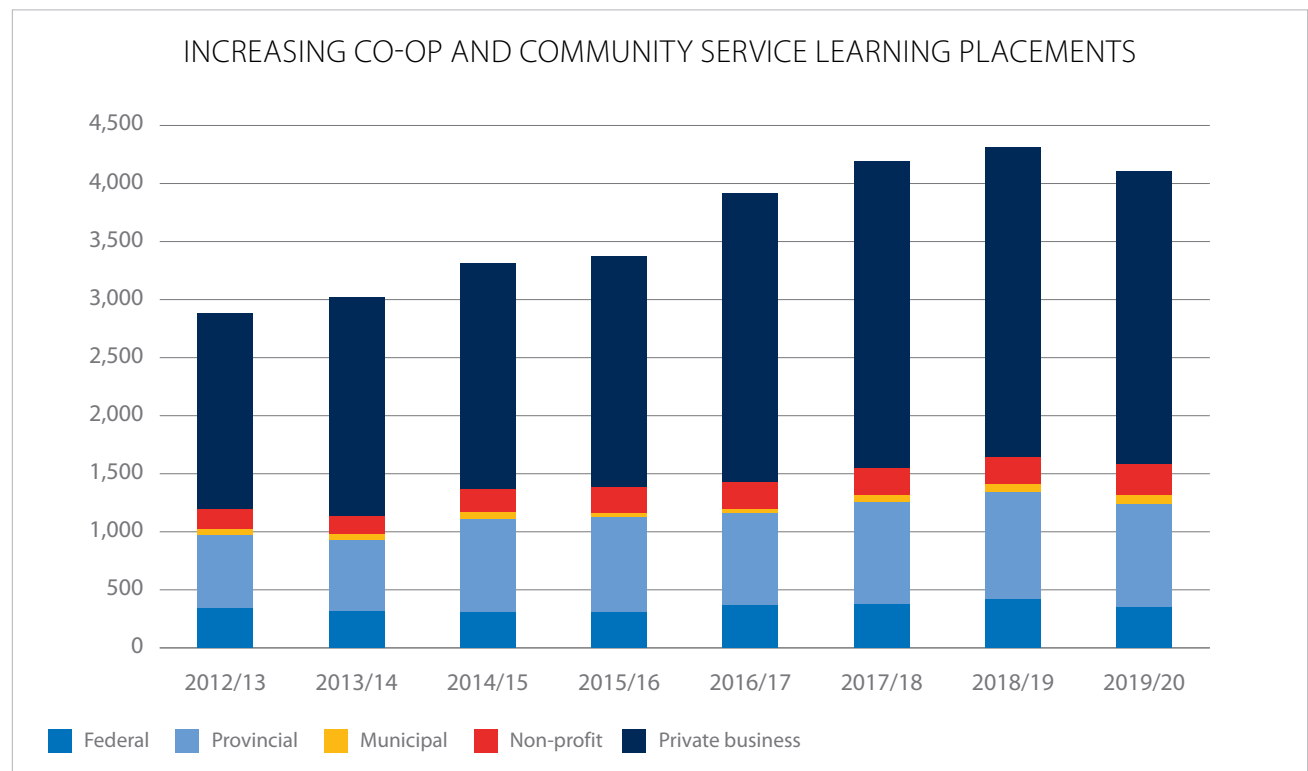
Planning has begun for the **Strategic Research and Creative Works Plan 2021–2026**, a renewal of the current strategic research plan. This creates an opportunity to revisit UVic's key areas of research, scholarship and creative endeavors, and to recommit to a coordinated strategy to address these areas. The engagement and consultation campaign will commence early October, with a projected completion date of fall 2021.

UVic has an allocation of 41 **Canada Research Chairs (CRCs)** in the areas of health sciences, engineering, natural sciences, social sciences, law and humanities. In the December 2019 CRC analysis of equity, diversity and inclusion, UVic continued to meet and exceed equity targets for chairholder representation from women, visible minorities, persons with disabilities and Indigenous peoples.

# INTENSIFY DYNAMIC LEARNING

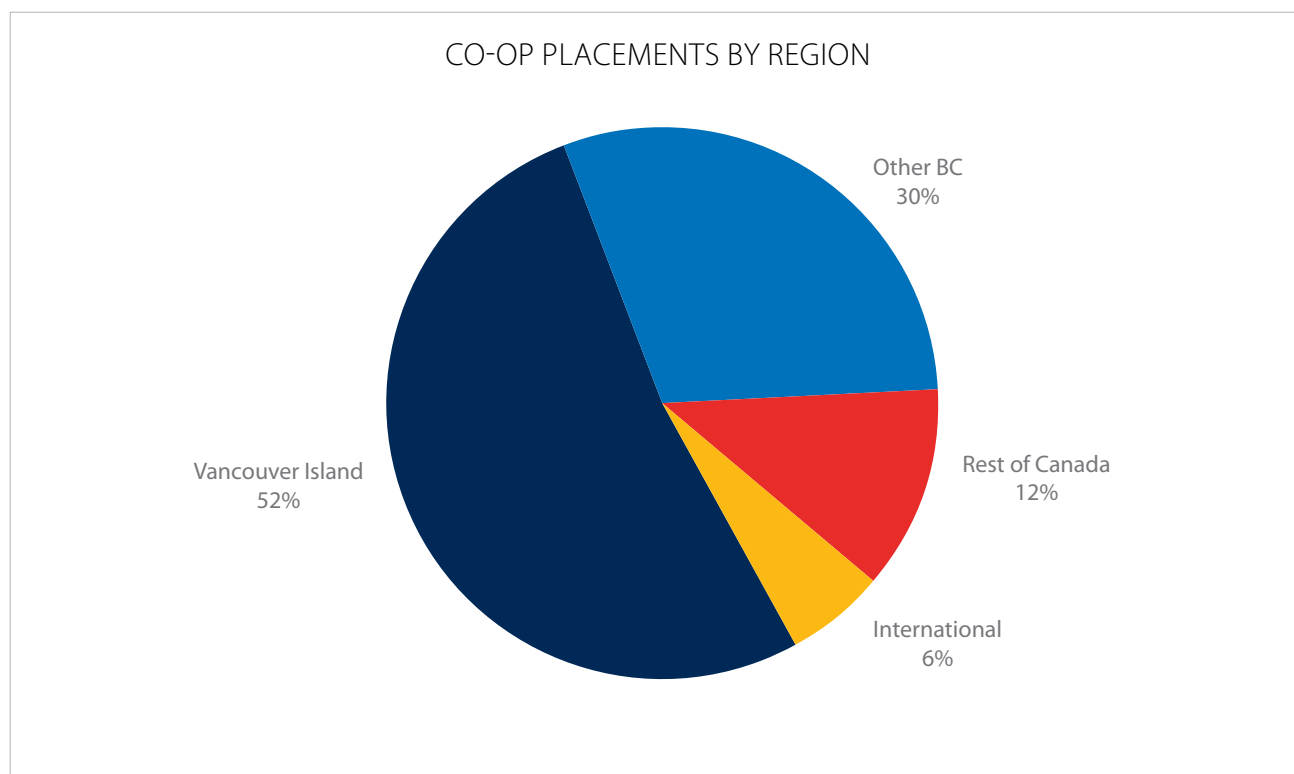
**Our goal is to be Canada's leader in research-enriched and experiential learning.**

UVic continues to build on our dual commitment to excellence in teaching and research, working towards our goal of being Canada's leader in research-enriched and experiential learning. In order to ensure every student is able to engage in dynamic learning even during the pandemic, we have made substantial investments in online learning and teaching, and we continue to explore new co-op opportunities.

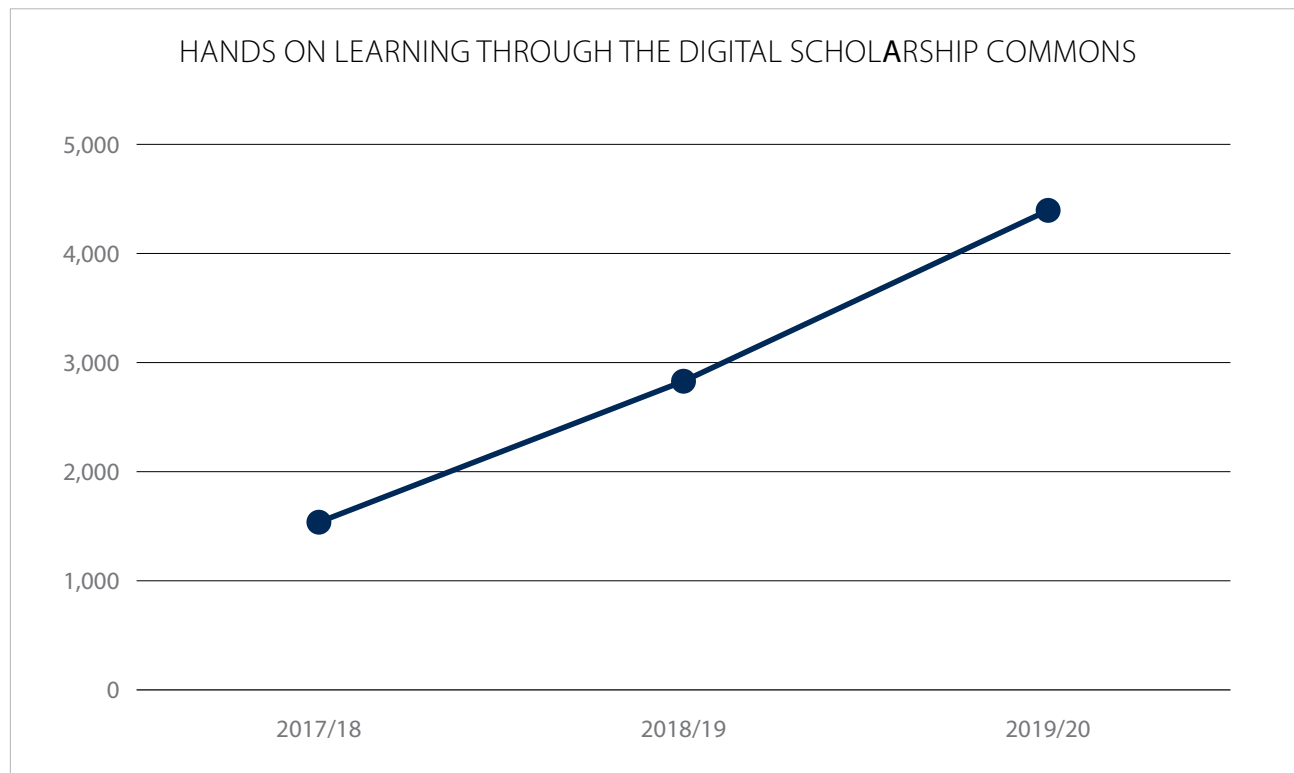


*Figure 7: This year, in part due to the impacts of the COVID-19 pandemic, we have seen an overall decrease in co-op placements. There has been an increase in non-profits and municipal employers and a decrease in federal, provincial and private employers.*





**Figure 8:** Our co-op program is one of Canada's largest. BC remains the most popular location for work-terms, representing over 80% of all placements. Not surprisingly, international co-op placements are down this year due to health and safety concerns resulting from the COVID-19 pandemic, including travel restrictions.



**Figure 9:** The Digital Scholarship Commons switched to remote delivery of technology workshops for students, staff and faculty throughout the spring and summer. Compared to the past four months last year, we are teaching more workshop participants online than we were face-to-face on campus.

UVic continues to work to support co-op students and foster new opportunities during the pandemic, including creating **new co-op positions within the university**. This summer, UVic funded 80 new co-op positions to help transition courses to the new Brightspace Learning Management System for the fall. Additionally, we are looking to hire 140 co-op students as leaders in the new Student Engagement Program in September, which will connect upper-year students with incoming students and support online community building.

The new **Business Strategy Internship** program partners undergraduate and graduate co-op students with businesses through a 12- to 16-week internship program, where students develop strategic projects to help restore or pivot business operations in the changing economic environment. This new program is a partnership between the Gustavson School of Business and Mitacs.

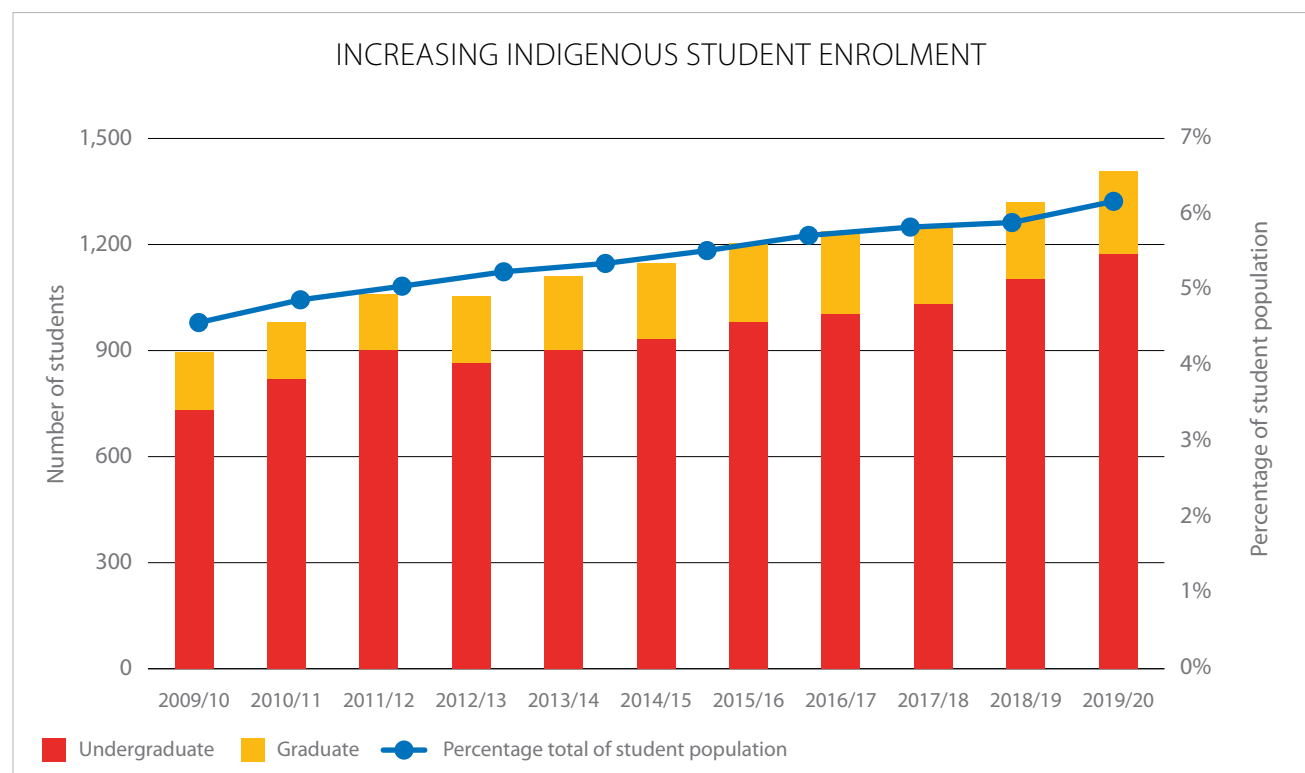
The **Experiential Learning Fund** was created in late 2019 to enhance opportunities for students to participate in experiential learning with not-for-profit organizations and NGOs. In spring 2020, the fund supported 17 recipients: 12 in the Faculty of Education and five in Human and Social Development. Eight of the placements were domestic and nine were international. Due to the current travel restrictions, students with international placements will retain their funding for future practicums to be completed within the next 12 months.

We continue to develop and evolve **high-quality academic programs** that align with the priorities set out in the Strategic Framework. This past year, the Ministry of Advanced Education, Skills and Training granted the university approval to offer the Master of Engineering in Industrial Ecology degree. The program is important for supporting clean growth and green jobs in the BC economy. In addition, a new master's degree program in biomedical engineering was recently approved by Senate.

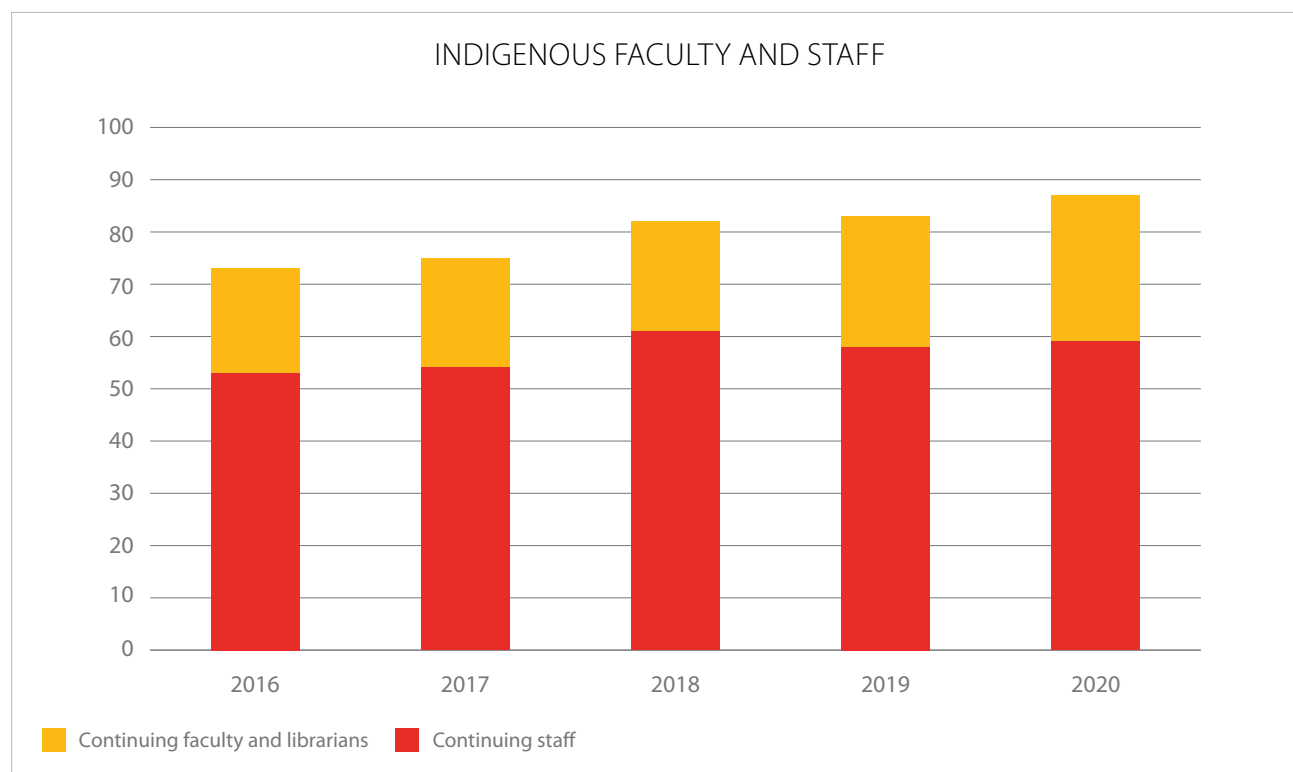
# FOSTER RESPECT AND RECONCILIATION

**Our goal is to be a global leader in creating opportunities for Indigenous students and advancing reconciliation.**

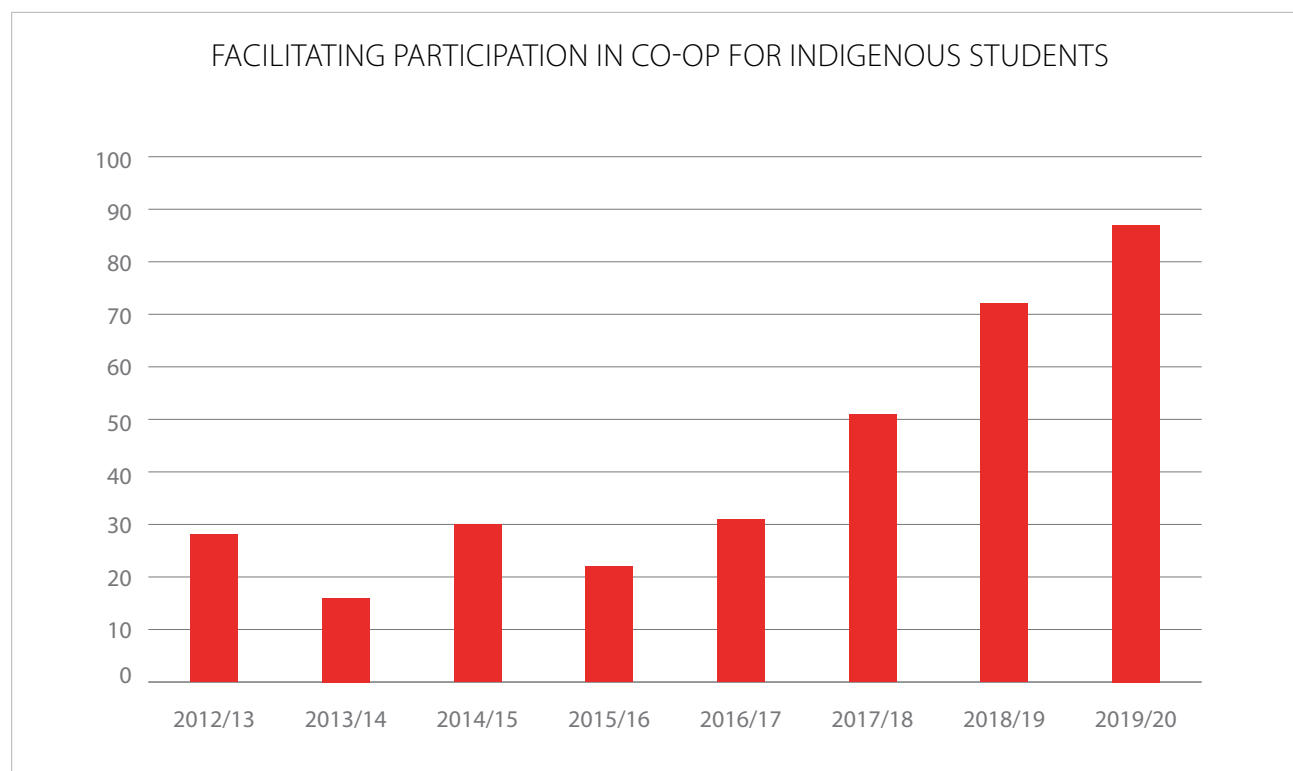
Launching the world's first Indigenous law degree program and the appointment of an Associate University Librarian–Reconciliation are just two of the significant steps UVic has taken since launching the Strategic Framework toward becoming a global leader in creating opportunities for Indigenous students and advancing reconciliation.



*Figure 10: Since 2009/10, Indigenous student enrolment has grown dramatically, from 973 to 1,145. We continue working towards our SEM 2019 goal of doubling Indigenous enrolment by 2029 so that Indigenous students comprise at least 10% of our overall student population.*



**Figure 11:** UVic surveys all new employees in order to track the university's progress towards achieving an equitable workforce. Of those surveyed this year, 87 continuing faculty and staff self-declared as Indigenous, an increase of 14 individuals in five years.



**Figure 12:** We have worked to increase support and opportunities for Indigenous students, including one-to-one support and culturally relevant co-op opportunities. In 2018/19, we expanded our award-winning International Indigenous Co-operative Education Program—the first of its kind in the world.

UVic Libraries is partnering with Indigenous communities and will work to directly address the need to preserve and sustain Indigenous knowledge, as well as introduce Indigenous approaches to knowledge into the daily work of the UVic Libraries. The **Associate University Librarian–Reconciliation** is a newly created position that will be part of efforts to decolonize the library.

Indigenous students at UVic identified the **Elders-in-Residence** program as a major support for their university success. The program recently expanded to include three new Elders, enabling the program to go from four days a week to five. The program has adapted to new COVID-19 realities by providing the Elders with iPads to stay connected with students and videotaping cultural protocols to help ensure Elders engage safely.

Over the past 12 months, UVic has hired 12 **Indigenous faculty** in anthropology, environmental studies, psychology, geography, human and social development, and fine arts. We have also hired 11 **Indigenous staff** across the university, including an Indigenous Resurgence Coordinator in the Faculty of Fine Arts and an Indigenous Learning Specialist in the Division of Learning and Teaching Support and Innovation.

Our **community partnerships** have substantially increased this year, with several communities providing language and educational programming, including new partnerships with the Tla'amin, Tseycum and Tsawout Nations. The UVic Living Lab Project also has new community collaborations, and new pathway initiatives brought Indigenous youth from many communities to campus in unprecedented numbers pre-COVID-19.

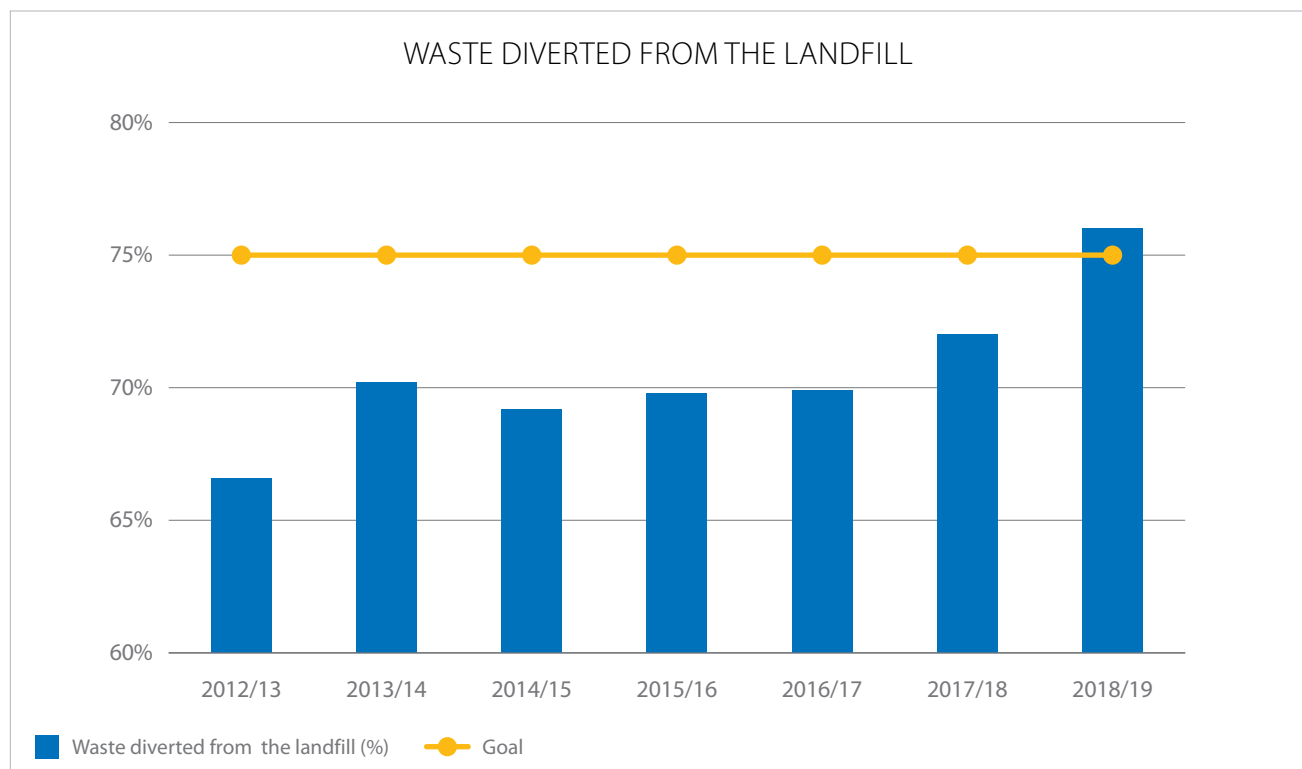
We welcomed the second cohort of students to UVic Law's Indigenous joint **JD/JID degree**. Construction of the new national centre for Indigenous law and reconciliation—an expansion of the Fraser Building—will begin this year and, upon completion in 2023, will welcome students, academics and community members from all nations for engagement, debate and public education.

Consultation with Indigenous leaders and Elders is ongoing for several **new capital projects**, including the Campus Greenway, student housing and dining facilities, and national centre for Indigenous law and reconciliation. UVic has also updated policies and practices related to building naming and renaming, making it possible to give new and existing buildings names from local Indigenous languages.

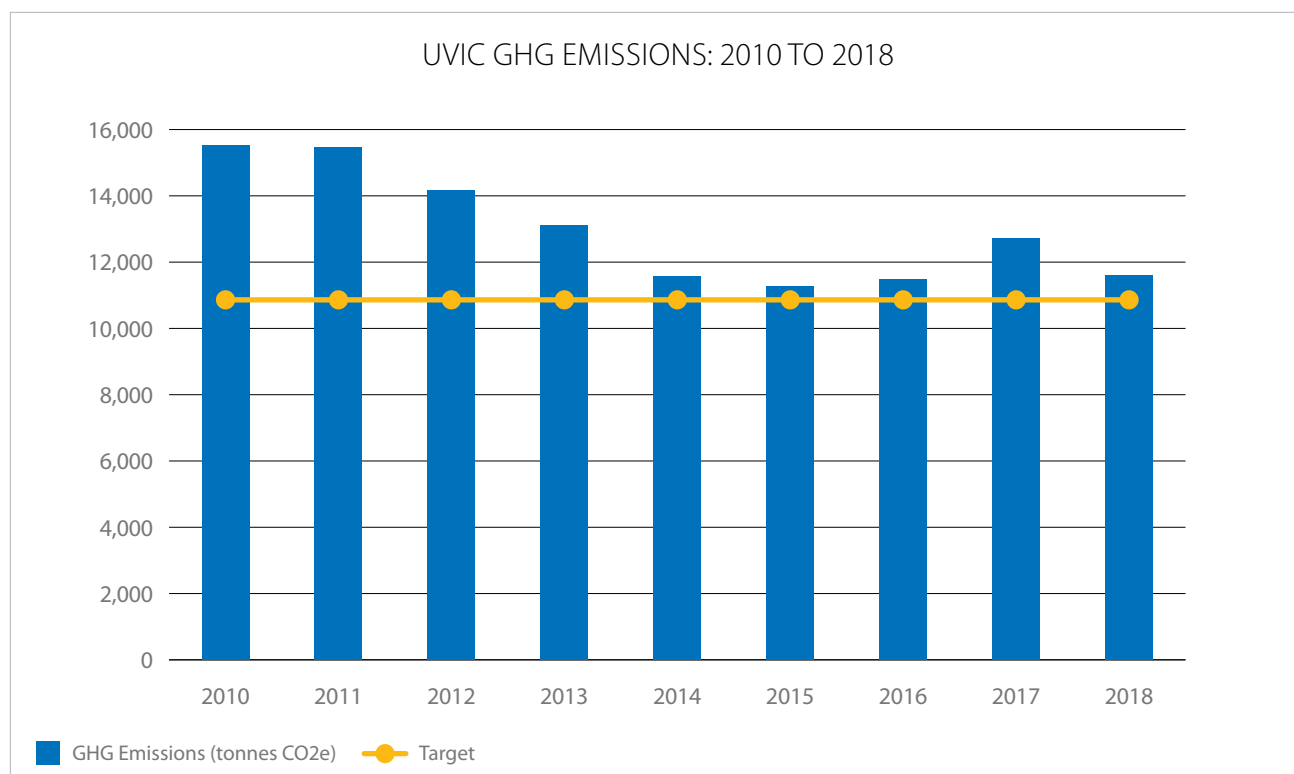
## PROMOTE SUSTAINABLE FUTURES

**Our goal is to be a global leader in environmental, social and institutional sustainability.**

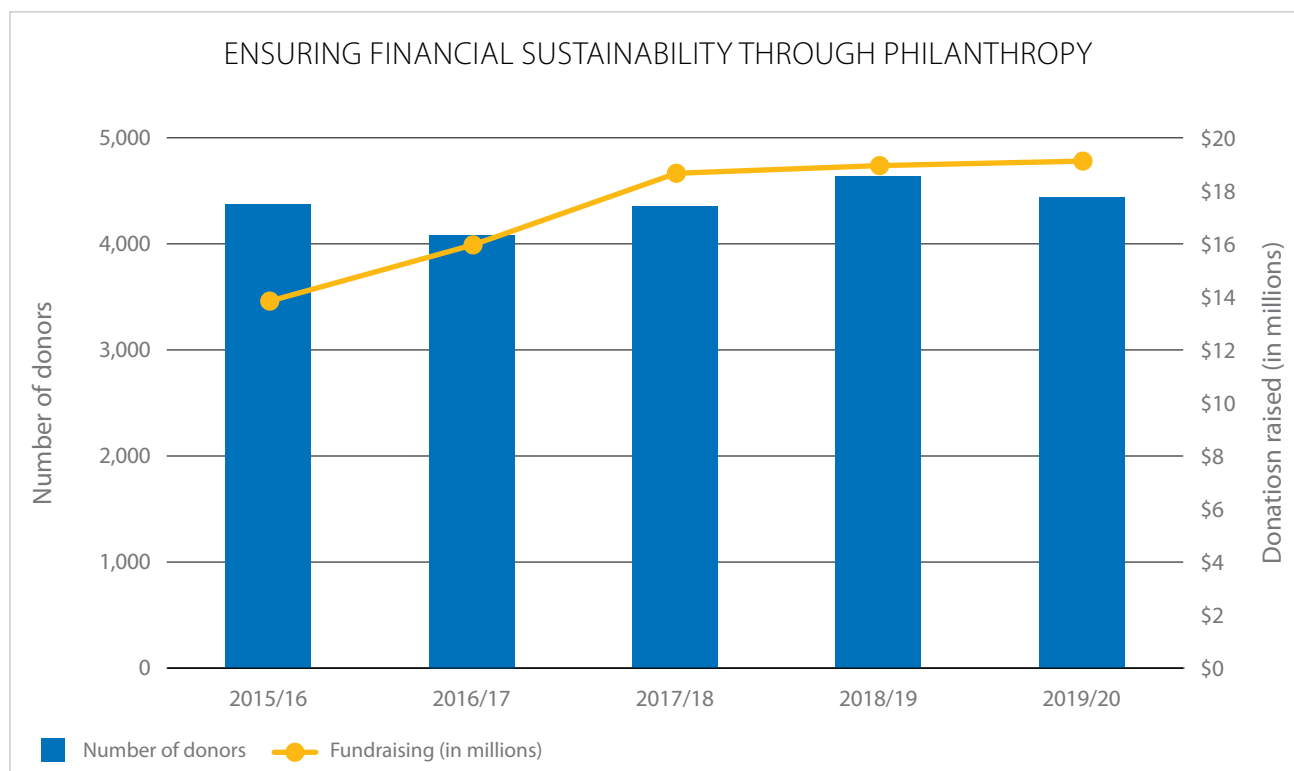
UVic has become a global leader in environmental, social and institutional sustainability through research, partnerships and campus policies. We continue to be recognized as one of Canada's Greenest Employers, and this year we were awarded a Gold rating by the Sustainability Tracking, Assessment & Rating System for a third time since 2014.



*Figure 13: This past academic year was a remarkable one for campus waste diversion. We achieved our waste diversion goal as outlined in our 2014-2019 Sustainability Action Plan, with 76% of waste diverted. Work is underway on a new and revised sustainability action plan.*



**Figure 14:** UVic tracks emissions resulting from buildings, fleet vehicles and office paper. In 2018, the university's greenhouse gas emissions decreased by 25% below the 2010 baseline but did not meet our target. Emissions are largely dependent on heating demand, and in 2017 and 2018 we experienced colder winter temperatures than in the previous three years. The completion of the District Energy Plant in 2019 provides increased capacity to the heating system. Note that 2019 data is not yet available, as reporting has been put on hold by the B.C. Government due to COVID-19.



**Figure 15:** Our successful outreach to external donors helps UVic continue to prioritize financial sustainability. Every year we set ambitious goals to increase funds raised from donors, helping to ensure our financial stability. This year, we raised over \$19 million from 4,439 donors.

## IMPACT RANKINGS



**61<sup>st</sup>**  
in industry, innovation and infrastructure (rated highly for patents and industry income)



**54<sup>th</sup>**  
in sustainable cities and communities (rated highly for arts and heritage support)



**25<sup>th</sup>**  
overall for responsible consumption and production



**4<sup>th</sup>**  
overall for climate action



**94<sup>th</sup>**  
in peace, justice and strong institutions (rated highly for working with government)



UVic was also recognized for high performance in all remaining areas that we submitted data for: health and well-being, quality education and partnerships

*Figure 16: UVic registered in the top 100 in five of the eight United Nations Sustainable Development Goals (SDGs) in which it was ranked. Overall, UVic ranked 82nd out of 766 participating institutions worldwide in THE's Impact Ranking.*

UVic has adopted a new **responsible investment policy** with a commitment to reduce the carbon footprint of UVic's short term investments by 45% and to make impact investments that further the UN Sustainable Development Goals (SDGs), with emphasis on promoting sustainable futures and supporting Indigenous economic development. The policy proposes use of investment screening to reduce the portfolio's carbon emissions, as well as continued use of a responsible investment approach to managing financial risks.

A global impact ranking by Times Higher Education (THE) ranked UVic fourth among the world's universities for climate action—meaning research and action taken to understand and respond to the global challenge of climate change. The university registered global top 100 in five of the eight United Nations Sustainable Development Goals (SDGs) in which it was ranked, and was also recognized for high performance in the remaining areas.

The final report for the **Sustainability Action Plan 2014-2019** highlighted a reduction in operational greenhouse gases by 25%, electrical energy intensity by 13%, and natural gas energy intensity by 22% below the 2010 baseline; reduced campus fleet diesel consumption by 28%; reduced campus fleet gasoline consumption by 9%; and increased campus waste diversion to 76%. We continue to set ambitious targets for both the reduction of greenhouse gas emissions and enhanced sustainability, which will be reflected in a new sustainability action plan currently under development that responds to priorities in the Strategic Framework.



The **Climate Solutions Navigator** initiative convenes a cross-campus working group with members from at least 15 university departments and research centres to identify and address strategic gaps and opportunities in climate solutions research engagement, awareness and partnerships on campus. The project is supported by UVic's Strategic Impact Fund.

This fall, UVic will implement the University Drive Connection Pathway, the first major project of the university's **Campus Cycling Plan**. The plan is a guide for cycling infrastructure, including bicycle racks and shelters, cycling paths, showers and change rooms on campus, as well as signage and directional strategies to improve comfort and safety on shared paths and roads.

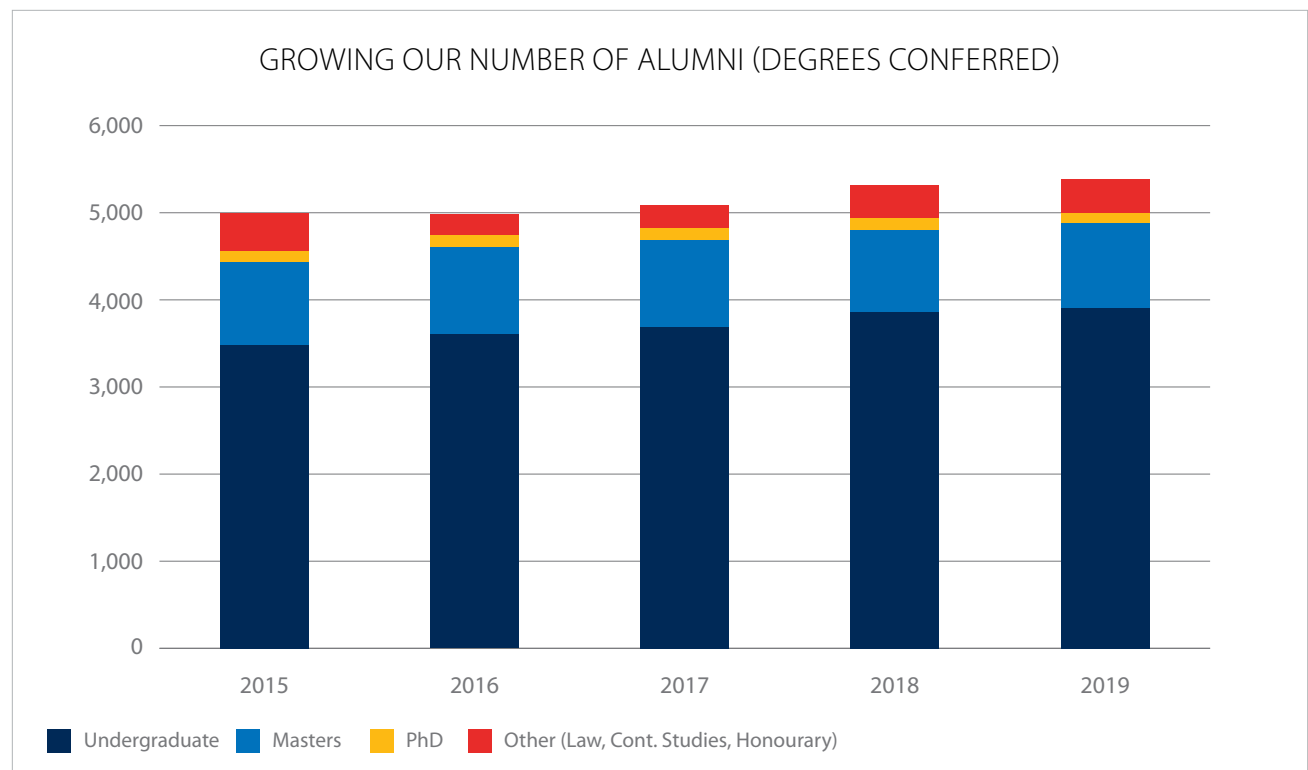
Our five-year **development plan** is advancing the culture of philanthropy on campus and in the community, ensuring the financial sustainability of the university. This year, we raised approximately \$19.12 million from 4,439 donors—surpassing our fiscal goal of \$18 million. We continue to build valuable relationships with new donors to grow and diversify our resources through philanthropic efforts.

Work continues on UVic's new **student housing and dining facilities**—the largest construction project on campus. It is expected to be fully completed in 2023. The housing project recently received a Net-Zero Energy-Ready Challenge (NZERC) award for its energy efficient design. The facilities are beginning to take shape, and the Modular Dining Facility will be operational in September 2020. This fall, student housing will operate at about 40% capacity due health and safety restrictions related to COVID-19.

## ENGAGE LOCALLY AND GLOBALLY

**Our goal is to be a preferred partner and leader in local and global engagement.**

UVic researchers, faculty, staff and students continue to foster strategic relationships and mobilize knowledge, locally and globally. Even during the pandemic, we have strengthened our connections to the community and are working to enhance our reputation, building off of the success of our faculty and alumni and using The UVic Edge to position ourselves to the world.



*Figure 17: To date, we have conferred approximately 135,000 degrees, certificates and diplomas. Strong student supports help to ensure our students succeed—from the newly admitted to alumni.*

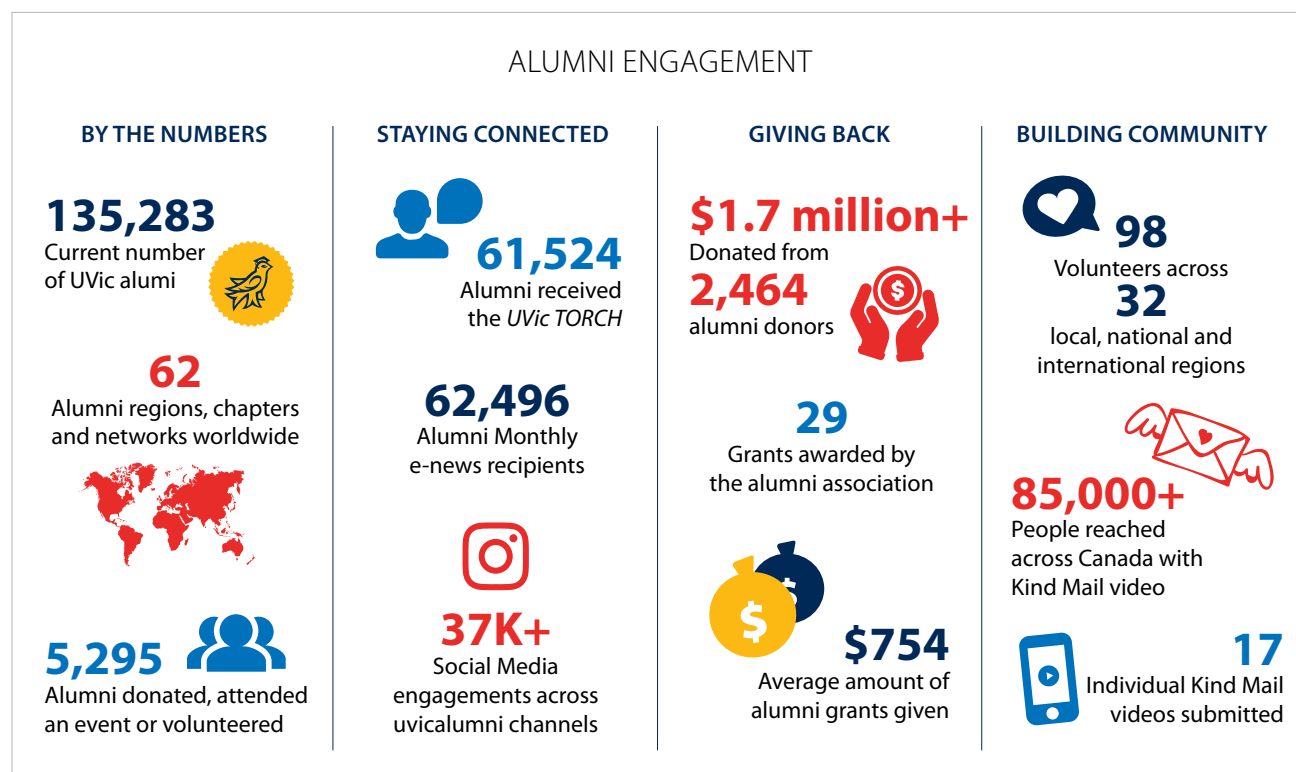


Figure 18: Strategic alumni engagement leads to strengthened connections with communities and businesses.

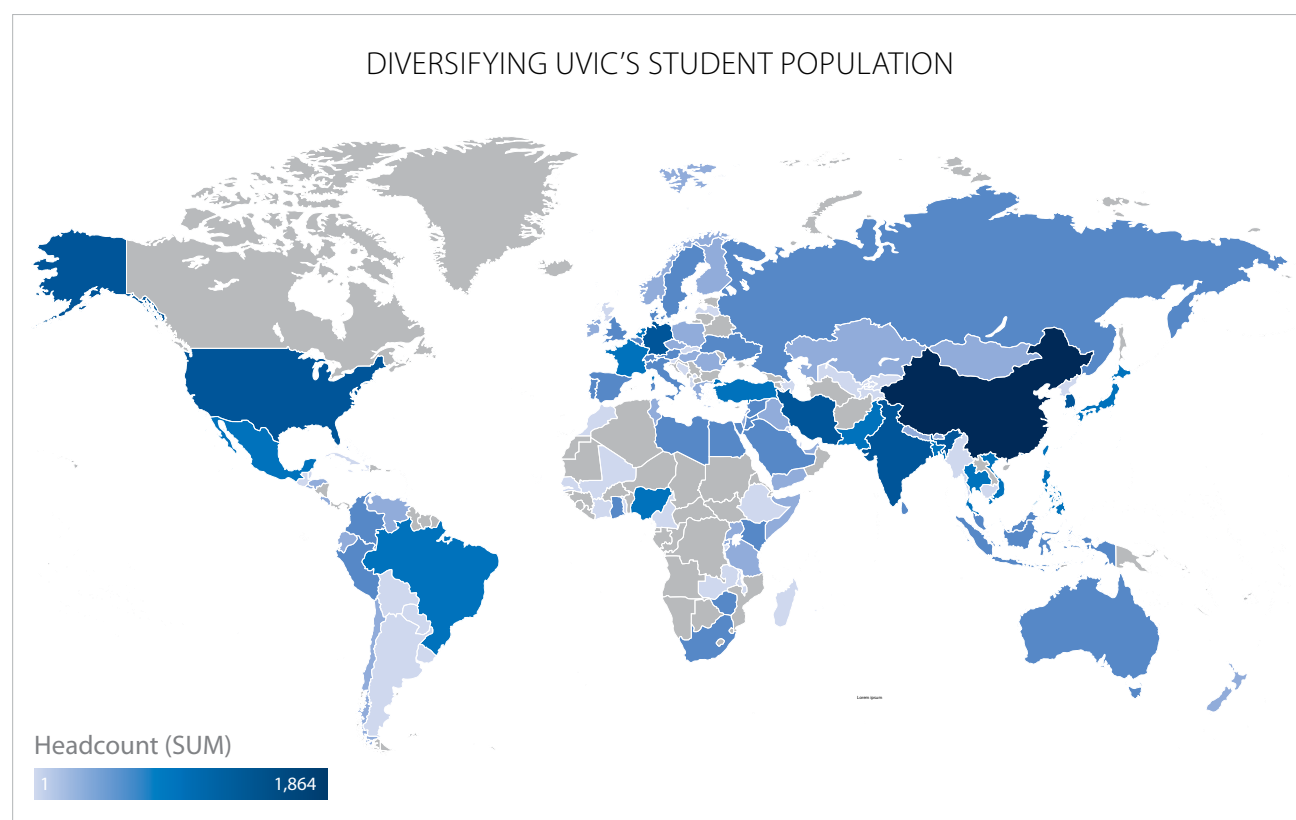


Figure 19: In 2019, our international students came from 127 countries; most are from China (1,864 students), followed by the USA (381) and India (339). We aim to strengthen the diversity of international students while keeping enrolment at approximately 17%.

A new **UVic central website** was launched in August for both internal and external audiences. The new website is simple, searchable, mobile-friendly and task-driven. It is also fully compliant with Web Content Accessibility Guidelines, meaning everyone—regardless of physical, cognitive and/or neurological impairments—can easily navigate the website.

UVic is a member of the **Rising Economy Taskforce**, created by the South Island Prosperity Partnership. This task force is a non-government COVID-19-related initiative in the Greater Victoria region that will provide guidance to inform a recovery strategy and measure the pandemic's impact on key economic assets, assess employment issues, and explore business transitions and new emerging opportunities.

Although much of our regular **community programming and outreach** has been put on hold or scaled back due to COVID-19, new initiatives have emerged this year in response to the pandemic. For example, we launched The Great Indoors online platform, where members of the UVic community can come together to share ideas, have conversations, support each other, and learn from UVic researchers and artists. Featured on this platform is Good Company, a show in which UVic Chancellor Shelagh Rogers chats with faculty, staff and colleagues at UVic.

The **Faculty of Fine Arts** has contributed to the community effort during the pandemic by organizing a phone campaign for seniors in care-home lockdowns, sewing and donating face masks, and delivering groceries as part of the Fernwood NRG's Good Food Box program. With theatres closed, an alumni group took live theatre to the streets with a mix of students and alumni, and many students recorded their recitals or shifted exhibitions online. Even during a pandemic, the show must go on.

## A final thought

Despite the impact of COVID-19 on the university community, good progress has been made in implementing the Strategic Framework. The second year of implementation has placed continued effort and emphasis on embedding the framework across the entire university and incorporating the goals into initiatives across the university.

Together, we will emerge from the pandemic as an even stronger and more connected community. Guided by the Strategic Framework, UVic will continue to deliver on our commitments to our people, partners and local and global communities.

Visit [uvic.ca/strategicframework](https://uvic.ca/strategicframework) for more information about the Strategic Framework.



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR INFORMATION**

September 14, 2020

**To:** Operations and Facilities

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

A handwritten signature in blue ink, reading "Valerie S. Kuehne".

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** Annual Academic Staffing, Recruitment and Vacancies Report

**Basis for Jurisdiction:** University Act, Section 27 (g)  
Procedures of the Board (Section 11)  
Strategic Framework (Strategy 1.1 & 1.2)  
Collective Agreement

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**Strategic Relevance:** The university remains dedicated to recruiting and supporting a diverse community of talented faculty and librarians. Competitive offers of employment—along with our commitment to provide an extraordinary environment for teaching, research and creative activity—attracts and inspires exceptional faculty. Our enhanced resources and programs make UVic the place where people want to learn, work, engage and discover. (Strategy 1.1)

We continue to embed practices of equity, diversity, accessibility and inclusion throughout the university community so that all members can achieve their highest potential. Through the

Employment Equity Plan, we actively encourage applications from members of groups experiencing barriers to equity. (Strategy 1.2)

**Background:** Under the University Act, the Board has the power to appoint faculty members and senior academic administrators. Appointments are governed by a number of UVic policies and are delegated to the university executive under Section 11 of the Board Procedures.

At UVic, academic appointments and reappointments for full-time faculty and librarians are governed by the Collective Agreement and approved by the Vice-President Academic and Provost under the Board delegations procedures. The Operations and Facilities Committee receives an annual staffing report that provides an overview of all continuing faculty and librarian appointments.

The allocation of faculty and librarian full-time equivalents (FTEs) and annual recruiting is overseen by the Office of the Vice-President Academic and Provost within a planning framework that integrates the Strategic Framework, academic and unit planning, Strategic Enrolment Management, faculty staffing, and budget plans.

**Summary:** This report provides an overview of UVic's full-time faculty and librarian complement—including new hires, vacancies, resignations and retirements—as of June 30, 2020. For context, it also includes historical data. This report does not include sessional or limited-term faculty, who are not subject to the Faculty Association Collective Agreement.

At UVic, there are currently 928.3 FTE faculty and librarian positions. Of that total, 860 are filled positions. Last year, we hired 58 new continuing faculty and librarians. There are currently 30.6 active recruitments in progress and 28.3 vacant positions available for recruitment. The remainder of vacancies are unavailable for reasons such as bridge positions for research chairs, returns from excluded administrative positions, and other university commitments. In the past year, four faculty and librarians resigned and 29 retired or reduced their hours in anticipation of retirement.

This report includes equity and diversity information, working towards our Strategic Framework goal of building a more equitable workforce and inclusive community.

In response to the COVID-19 pandemic that occurred late in the academic year, UVic shifted to online instruction. Most of the information in this report, such as new hires and overall staffing levels, would not have been affected by that decision, although retirement decisions appear lower this year. Academic staffing levels in the coming year may be impacted by the COVID-19 pandemic as recruitments may be limited due to travel restrictions. These and other factors will be tracked in next year's report.

**Attachment(s):** Academic Staffing, Recruitment and Vacancies Report 2019/20

# Academic Staffing, Recruitment and Vacancies Report

2019/20



## Introduction

This report is an overview of the full-time faculty and librarian complement at the University of Victoria (UVic), including new hires, vacancies, resignations and retirements. It does not include sessional or limited-term faculty.

The report provides current and historical data to the end of June 30, 2020. UVic's shift to online instruction in response to the COVID-19 pandemic occurred late in the academic year. Most of the information in this report, such as new hires and overall staffing levels, would not have been affected by that decision. Retirements, however, are noticeably lower than prior years and may reflect the uncertainty that the pandemic posed at that time.

## Cultivating an extraordinary academic environment

Guided by our Strategic Framework, UVic continues to develop targeted initiatives to recruit and support a diverse and talented community of faculty, librarians and researchers. Our collegial culture and our dedication to excellence and service make UVic the place where people want to learn, work, engage and discover.

UVic is committed to attracting and retaining faculty of the highest national and international calibre and supporting their career development. Over the past five years, faculty renewal hiring has been strong and our resignation rate is less than 1% per year.

## Faculty and librarian budgeted FTEs

There are currently 928.3 full-time equivalent (FTE) faculty and librarian positions at the university. Of those, 860 FTE are filled budgeted positions—an increase of 22 FTEs from the previous year. This year, Artist-in-Residence and Academic Administrator ranks were disestablished and faculty members were promoted to regular ranks.

Filled FTEs, excluding limited-term or vacant positions

Rank	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
Full professor	268	288	276	268	291	297	323	322	305	321
Associate prof.	250	286	310	300	292	270	273	270	266	255
Assistant prof.	202	157	130	136	121	140	109	110	135	150
Lecturer	9	2	5	4	0	1	1	2	1	1
Teaching prof.*	72	70	71	75	77	79	82	85	90	99
Artist-in-Res.	4	4	4	4	4	4	4	4	4	0
Academic admin.	8	6	6	7	9	8	9	7	6	0
Librarian**		30	30	30	31	33	34	32	31	34
<b>TOTAL</b>	<b>813</b>	<b>843</b>	<b>832</b>	<b>824</b>	<b>823</b>	<b>831</b>	<b>833</b>	<b>832</b>	<b>838</b>	<b>860</b>

\*Senior instructor prior to 2012/13. Includes Assistant, Associate and Full Teaching Professors.

\*\*Librarian FTEs were reported to the Board for the first time in 2011/12.

Note that numbers are rounded to the nearest FTE position.





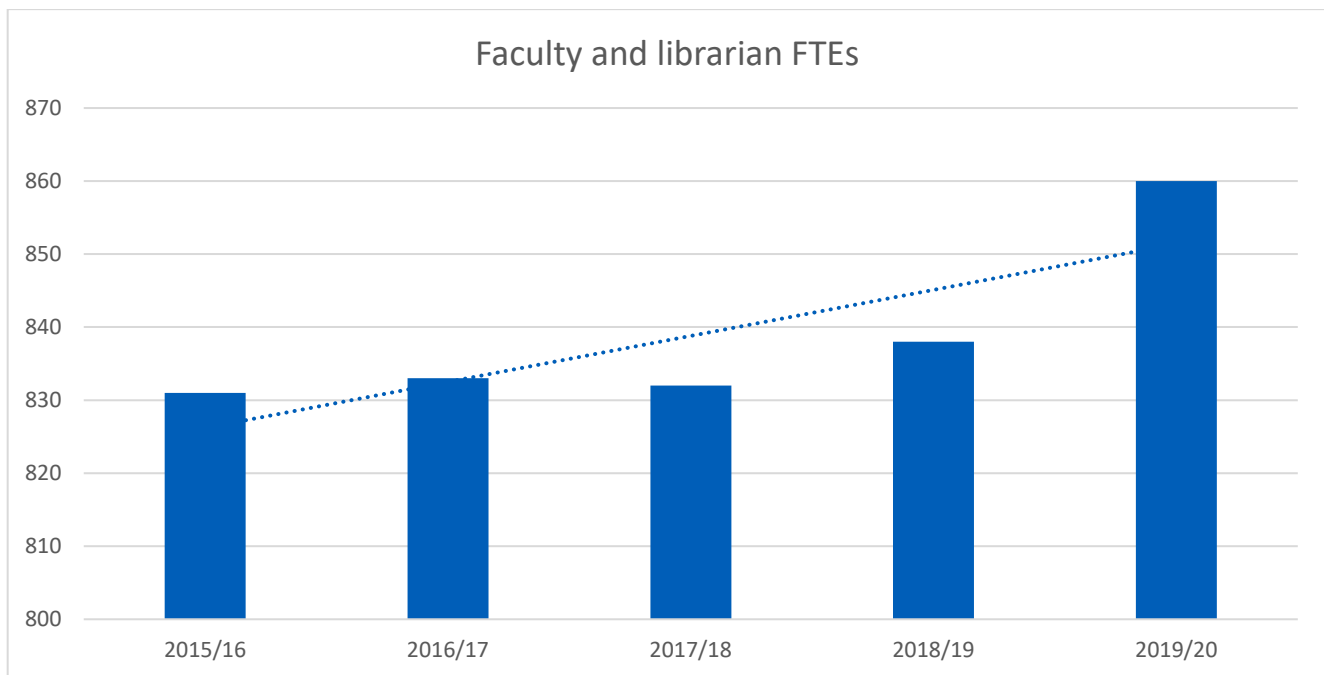


Figure 1: Filled FTE faculty and librarian positions over the past five years, excluding limited-term or vacant positions.

## Vacancies

Although there are currently 67.2 vacant FTE positions, there are only 28.3 FTE vacancies available for recruitment. Reasons for the discrepancy include: bridged positions for research chairs (including CRCs), returns from excluded administrative positions, vacant positions already filled by faculty pending immigration approval, and other commitments by the university.

There are 30.6 FTE active recruitments in progress for existing and anticipated vacancies.

## Equity and diversity

We continue to implement the Employment Equity Plan, actively encouraging applications from members of groups experiencing barriers to equity so that we can increase the diversity of our faculty.

The Equity and Human Rights Office sends all new employees a survey in order to track the university's progress towards achieving an equitable workforce. Of continuing faculty surveyed, 26 have self-declared as Indigenous—an increase of 30% in five years.

As indicated in our Strategic Framework, we aim to increase the number of Indigenous faculty and leaders at UVic by developing priority recruitment strategies across the university.



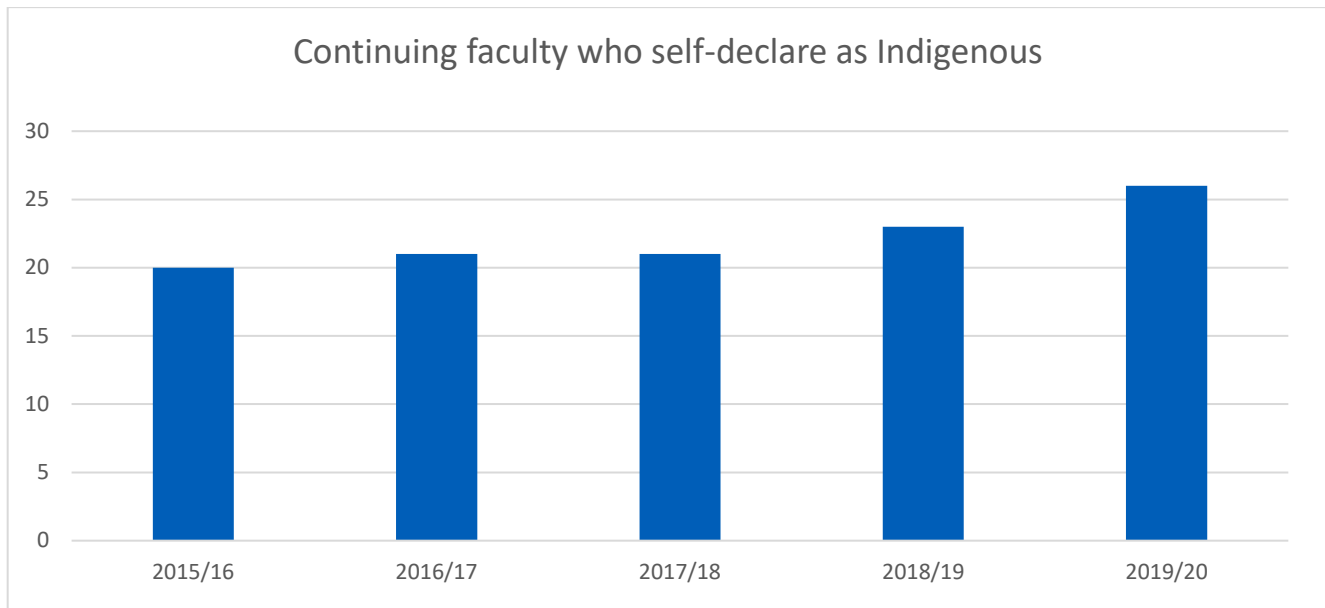


Figure 2: UVic currently has 26 continuing faculty members who self-declare as Indigenous. The total number of continuing faculty who self-declare as Indigenous has increased by 30% over a five-year period.

Additionally, 96 faculty identified as a visible minority and 30 identified as having a disability or disabilities. We continue to embed practices of equity, diversity, accessibility and inclusion throughout the university so that all members feel welcomed, valued and supported to achieve their highest potential.

### New faculty and librarian headcount

In 2019/20, we hired 58 new continuing faculty and librarians. Consistent with previous years, most new hires were at the assistant professor level.

#### New FTEs, excluding limited-term appointments

Rank	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
Full professor	2	2	1	4	5	4	2	8	2	1
Associate prof.	5	2	1	0	1	1	3	4	6	7
Assistant prof.	17	17	2	18	16	23	28	23	30	32
Lecturer	3	2	3	1	1	0	1	0	0	1
Teaching Prof.*	5	2	6	7	6	9	5	10	10	14
Academic admin	0	0	0	1	1	0	0	0	0	0
Librarian	0	1	0	3	3	3	2	2	1	3
<b>Total</b>	<b>32</b>	<b>26</b>	<b>13</b>	<b>34</b>	<b>33</b>	<b>40</b>	<b>41</b>	<b>47</b>	<b>49</b>	<b>58</b>

\*Senior instructor prior to 2012/13. Includes Assistant, Associate and Full Teaching Professors.



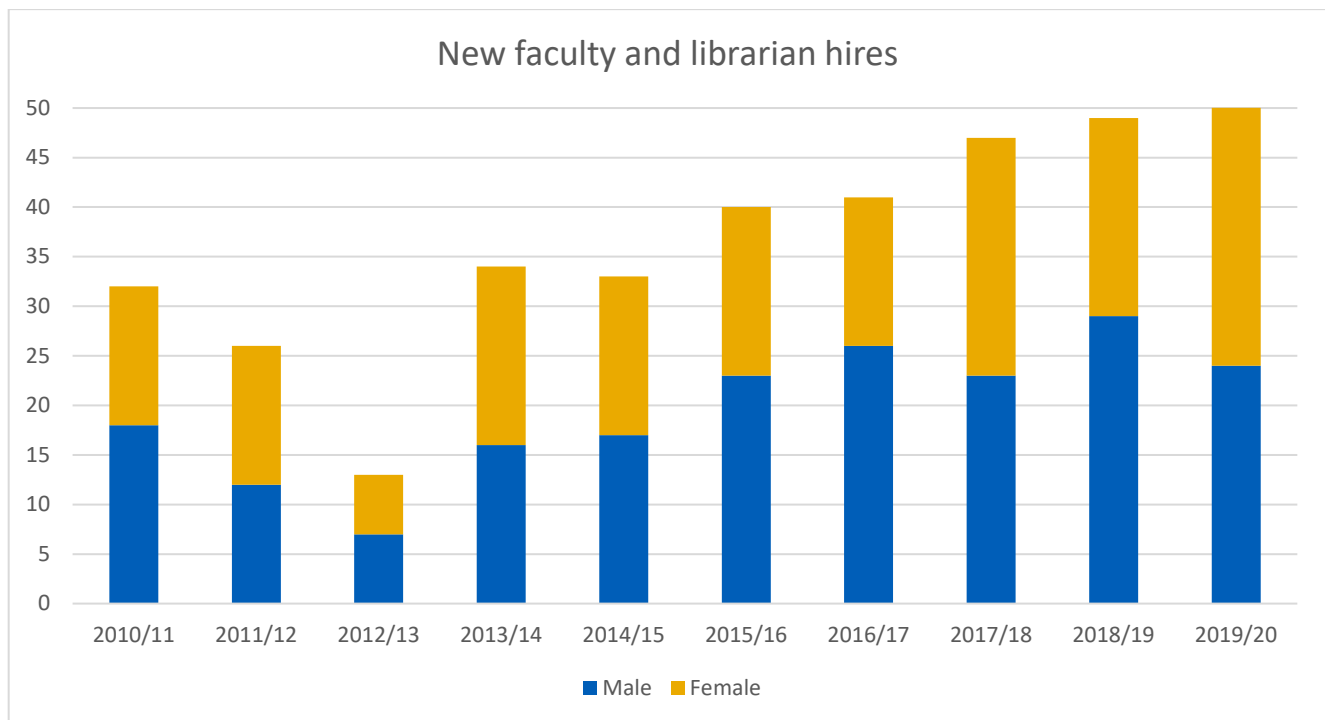


Figure 3: Of the 58 total faculty and librarians hired in 2019/20, 24 identified as male and 34 as female. The new hires support enrolment growth in engineering, law, business and other priority areas.

## Faculty promotions

In 2019/20, 16 faculty were promoted to the rank of full professor and 7 faculty were promoted to the rank of associate professor.

### Promotions

Rank	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
Full professor	14	12	10	14	15	17	25	20	15	16
Associate prof.	8	30	29	26	30	26	16	17	13	7
Assistant prof.	0	0	1	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>22</b>	<b>42</b>	<b>40</b>	<b>40</b>	<b>45</b>	<b>43</b>	<b>41</b>	<b>37</b>	<b>28</b>	<b>23</b>

## Faculty and librarian resignations and departures

UVic goes to great lengths to retain our faculty and our number of resignations is extremely low. The five-year average rate of faculty resignation is less than 1%.

Retention packages are negotiated on a case-by-case basis and the majority of retention efforts are successful. For those that are not successful, the primary reasons for departure are health and family circumstances, followed by other employment opportunities.



## Resignations

Rank	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
Full professor	3	2	0	1	1	3	3	0	4	0
Associate prof.	1	6	2	3	0	1	3	2	2	2
Assistant prof.	7	5	1	7	2	1	5	5	3	1
Teaching prof.*	0	1	3	0	1	0	2	0	1	1
Lecturer	0	1	0	0	0	0	0	0	0	0
Academic admin.	0	0	0	0	0	0	1	0	0	0
Librarian	1	1	1	0	0	0	0	0	0	0
<b>Total</b>	<b>12</b>	<b>16</b>	<b>7</b>	<b>11</b>	<b>4</b>	<b>5</b>	<b>14</b>	<b>7</b>	<b>10</b>	<b>4</b>

\*Senior instructor prior to 2012/13. Includes Assistant, Associate and Full Teaching Professors.

## Terminations and deaths

Rank	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
All ranks	1	2	0	0	1	2	0	2	0	0

## Retirements

In 2019/20, 29 faculty and librarians retired or indicated an upcoming retirement date. Most retirees were 65 years or older. There were 11 faculty members who chose to reduce their hours in anticipation of retirement.

## Retirements and reduced hours

Type	2010/ 11	2011/ 12	2012/ 13	2013/ 14	2014/ 15	2015/ 16	2016/ 17	2017/ 18	2018/ 19	2019/ 20
Retirement at age 65 or later	10	11	8	14	21	20	11	28	19	14
Retirement before age 65	2	2	3	5	8	8	9	7	8	4
Reduced FTE	5	5	6	7	8	6	5	11	15	11
<b>Total retirees</b>	<b>12</b>	<b>13</b>	<b>11</b>	<b>19</b>	<b>29</b>	<b>28</b>	<b>20</b>	<b>35</b>	<b>27</b>	<b>18</b>

Based on our Faculty Recruitment and Retention Survey, 10 faculty members who are 65 years of age or older have indicated that they will retire on or before June 30, 2021. We anticipate having a total of 142 faculty and librarians 65 or older.



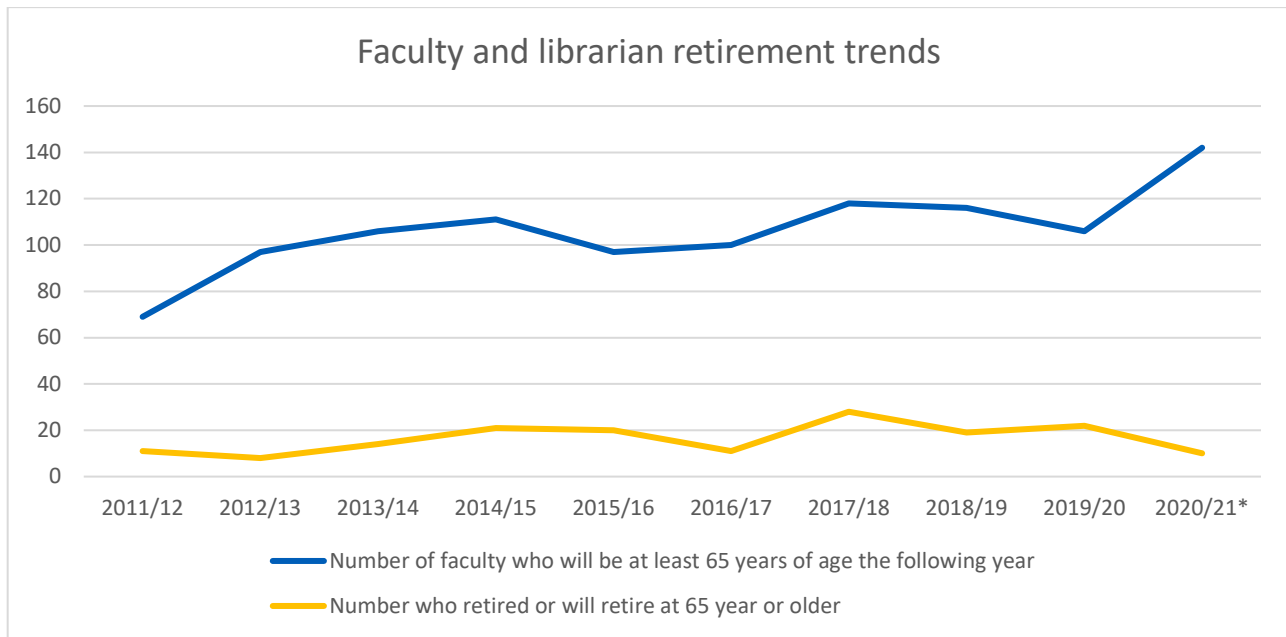


Figure 4: As of July 31, 2020, 10 faculty and librarians 65 or older have indicated that they will retire as of June 30, 2021.

\*We anticipate having a total of 142 members 65 or older.

## Investing in our future

The university remains dedicated to recruiting and supporting a diverse community of talented faculty and librarians. We continue to hire faculty to support enrolment growth in engineering, law, business and other areas. Four Strategic Framework Impact Chair positions were created this year to recruit new faculty who will advance the priorities in the Strategic Framework. In addition, three faculty members have been named President's Chairs—an initiative established to recognize and support current faculty who excel in research, teaching and engagement.

As a result of changes in teaching and research due to the COVID-19 pandemic, budget allocations this year include significant and necessary investments in supporting the transition to online teaching and learning. This includes a new learning management system, additional sessional instructors and teaching assistants to support online delivery, and new technologies like video conferencing and collaboration software.

Academic staffing levels in the coming year may be impacted by the COVID-19 pandemic. The recruitment of new faculty members may be somewhat limited as a result of travel restrictions and quarantine rules both in Canada and abroad. Decisions about retirements and resignations may be delayed or accelerated due to economic uncertainty but also by the university's decision to shift most instruction online. These and other factors will be tracked in next year's report.

We will continue to build on our dual commitment to excellence in teaching and research in support of faculty, students and staff.





University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR DECISION**

**September 14, 2020**

**To: OPERATIONS AND FACILITIES COMMITTEE**

**From: VICE-PRESIDENT FINANCE AND OPERATIONS**

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

**cc: President and Vice-Chancellor**

**Meeting Date: September 29, 2020**

**Subject: 2021/22 Five Year Capital Plan**

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**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.*

**Recommendation:**

*THAT the Operations and Facilities Committee recommend to the Board of Governors that the Board of Governors approve the 2021/22 Five Year Capital Plan.*

**Background:**

The university has a rolling five-year capital plan that is updated annually to ensure it reflects institutional priorities and to update for progress made against the previous plan. The capital plan reflects the academic priorities of the university as articulated in its Strategic Framework, its Planning and Budget Framework, the Indigenous Plan, the Campus Plan and our Institutional Accountability Plan and Report to the Ministry of Advanced Education, Skills and Training (the Ministry). The Plan provides direction on capital required to support these priorities and is a tool

to communicate to the campus and the Ministry. The Ministry uses this report to better understand university priorities and funding requirements and to develop its own fiscal plan.

At the June Board of Governors' meeting, the priorities to be included in the 2021/22 Five Year Capital Plan were presented for discussion and feedback in advance of submission to the Ministry in July. The Board would typically review and approve the full capital plan prior to submission to the Province; however, due to workload associated with COVID-19, a full update of the plan was not possible for the June Board meeting deadline.

After discussion and review of the priorities at the June meeting, the attached 2021/22 Five Year Capital Plan was submitted to the Ministry in July. The report was submitted as draft indicating that Board approval would be sought in September and that the plan will then be submitted to the Ministry in its final, Board approved form.

**Next Steps:**

- Resubmit in final form to the Ministry.

**Attachment:**

2021/22 Five-Year Capital Plan



2021/22

## FIVE-YEAR CAPITAL PLAN



Schematic Design: Addition to Engineering and Computer Science Building



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## A. EXECUTIVE SUMMARY and PRIORITIES

The University of Victoria's success is built on the provision of high-quality education and outstanding student experience, excellence in research and the conscious integration of research and teaching, within a diverse and welcoming environment. The university's five-year capital plan reflects the academic priorities of the university as articulated in its Strategic Framework, its Planning and Budget Framework, the Indigenous Plan, the Campus Plan and our Institutional Accountability Plan and Report to the Ministry of Advanced Education, Skills and Training. One of the six key areas of our Strategic Framework is to cultivate an extraordinary academic environment that allows for the creation, dissemination and mobilization of knowledge. Our capital plan is a key planning document that outlines the university's infrastructure needs, which are a vital component required to achieve this key goal.

Our top priorities include providing an exceptional student experience, both curricular and co-curricular, meeting existing and anticipated program demand, advancing research excellence, and fostering respect and reconciliation. The university's five-year capital requirements for 2021/22 to deliver on these priorities include:

1. Addition to the Engineering and Computer Science Building:  
Thanks to significant support from this government, UVic will be welcoming an additional 500 FTE undergraduate students to our Computer Science and Engineering programs by 2022/23. Government has also committed to supporting that growth with a capital expansion. UVic's top capital priority, therefore, is a project that includes an addition to our Engineering and Computer Science building and an adjacent high-bay structures lab estimated at \$89.6, which is required to meet our new funded enrolment targets, in programs with some of the highest number of anticipated job openings of any in-demand occupations.
2. An addition to the Business and Economics Building:  
Student demand for Business programs, including entrepreneurship and innovation, has been very strong. UVic's Peter B. Gustavson School of Business has expanded to meet this demand by creating two additional cohorts and expanding its BCom Minor program. Another UVic capital priority, to accommodate this growth, is therefore an expansion to the existing Business and Economics building.
3. Addressing Deferred Maintenance and Seismic:

### Renewal of the Fraser Building:

The quality of our academic programs is impacted by the condition of the facilities in which they are provided. In order to address pedagogical needs and provide the experience our students require to be ready for the job market, the university has developed a program of building renewal which addresses both deferred maintenance and seismic needs across campus. The next priority project in this ongoing renewal program is the Fraser Building, estimated at \$33M. Some components of this renewal can be undertaken in conjunction with the addition to Fraser for the National Centre for Indigenous Law. The extent of renewal will

largely be driven by funding available but will be focused on those improvements that would most benefit from being undertaken at the same time.

### Seismic Upgrading:

Over the course of the last few years, detailed planning was undertaken to develop seismic upgrade plans for several campus buildings. This work is now complete and seismic upgrades are complete for the Campus Security and Saunders buildings. As well, work has commenced on upgrading the MacLaurin D wing, anticipated to be complete by September 2020.

Facilities planning is continuous in order to address changes in student program demand and support services, as well as evolving research and teaching requirements to ensure they reflect societal need. To address these changing needs, the university undertakes planning activities that inform future capital requirements, both major capital and annual routine capital. Over the next few years this work will include reviewing space needs for the Faculty of Science. As well, work will be undertaken to plan for future expansion requirements beyond five years that takes into account our strategic framework goal *to promote more collaboration, partnerships and interdisciplinary approaches*. This goal leads to thinking about and planning for more flexible, multipurpose shared space.

## B. BACKGROUND

University facilities and infrastructure are a critical component of providing an extraordinary academic environment, for delivering on our commitment to making a vital impact and providing a hands-on experience, integrated with research-inspired teaching. The annual renewal of our five-year capital plan is therefore an important process that ensures that over the longer term, our physical assets will continue to support the realization of our institutional priorities and goals.

The Ministry of Advanced Education, Skills and Training (AEST) provides guidance in the development of capital priorities, both through the articulation of Provincial goals and priorities and through the development of post-secondary space and deferred maintenance standards/benchmarks. Provincial priorities align with university priorities, and include supporting growth in academic programs for in-demand jobs, increasing affordable housing, reducing carbon, enhancing climate resiliency, incorporating wood first building design and the renewal of existing infrastructure. With respect to deferred maintenance, the AEST funded and implemented a province-wide system to assess levels of deferred maintenance. For overall space, AEST standards outline the total campus space that an institution should have, based on programs offered, enrolment levels, number of faculty and staff, library volumes, etc. University inventory is then compared to this standard to assess an overall space gap or shortfall. Capital planning reflects institutional needs, priorities and goals within this space gap context and projects are developed that address these institutional needs and goals, influenced by provincial government objectives and priorities.

The university, based on the AEST space standards, has a gap of 25,889 net assignable square metres (NASM). This is approximately 13% below standard, as outlined in appendix 1. Using this overall institutional assessment as a starting point, planning work is undertaken to confirm the priority projects for addressing the space pressures that result from the gaps in academic and administration

office space, student and central service space<sup>1</sup>, and laboratories, as noted in appendix 1. These space pressures are a consequence of overall student growth and from realignments in programs due to student demand.

UVic responds to changing student and societal demands by adding capacity (new student FTEs) in programs aligned with the provincial labour market outlook, including the most in-demand jobs. Thanks to significant support from government, our proactive approach will result in UVic welcoming an additional 500 FTE undergraduate students to our Computer Science and Engineering programs by 2022/23. Government has also committed to supporting this growth with a capital expansion. Much like the demand for Computer Science and Engineering, student demand for Business, including entrepreneurship and innovation, has been very strong. UVic's Peter B. Gustavson School of Business has expanded by creating two additional cohorts.

Programs of requirements have been developed to address the needs of Computer Science and Engineering and Business. Based on this planning, it has been determined that their needs can be addressed through additions to current facilities that support these programs – an addition to the Engineering Computer Science Building and an addition to the Business and Economic Building.

Another priority building addition is to the Fraser Building. This addition will house the university's new dual degree program in Common Law and Indigenous Legal Orders (JD/JID) and serve as a national centre for research and education in Indigenous Law. UVic welcomed its first cohort of students in the fall of 2018. This program, funded by the provincial government for 96 FTE JD/JID students, will have transformational effects in communities across Canada, realizing the Truth and Reconciliation Commission's hope that Indigenous and non-Indigenous peoples should live together in peace and prosperity. It also responds to both federal and provincial government commitments to recognize the rights and traditions of Indigenous Peoples and forge the nation-to-nation relationship. Funding for this ~\$27.1M project has been secured through commitments from the Provincial and Federal Governments along with an external donor. The construction of this addition is a key step towards UVic's goal of being a global leader in creating better opportunities for Indigenous students, entering respectful educational and research partnerships with Indigenous Communities, and advancing respect, reconciliation and mutual understanding.

In addition to addressing academic priorities, another priority in the new strategic framework is to expand on-campus housing to address student demand and housing pressures in the community. With approval from the Provincial Government for borrowing, in 2019 UVic was able to move forward to respond to this demand through tendering for the construction of 620 incremental beds on campus.

As well as housing, there are significant space pressures and delivery challenges with respect to the provision of appropriate Health Services for students. The current building where this program is located is inadequate in both size and functionality, and given its age and location can't cost effectively be renovated to meet current Vancouver Island Health Authority requirements and student demand levels. To address the gaps and to better respond to the overall student physical and mental health needs, a new student Health and Wellness Centre will open in 2020 within the Technology Enterprise

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<sup>1</sup> Student and central services includes: food services, bookstore, AV/TV, data centre, student computer labs, health, student lounge space, student office and support space and general assembly such as galleries auditorium etc.

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Facility (TEF), creating a wellness hub due to the close proximity to the Centre for Athletics, Recreation and Special Abilities (CARSA).

In 2007, the university started the process to assess campus renewal needs. Since that time renewals have been undertaken in six of the University's oldest buildings including Elliot, Cunningham, MacLaurin, University Centre, Cornett and Clearihue. As well, the McKinnon building was partially renewed after the move of the Athletics and Recreation Department to CARSA in 2016. While these projects addressed some deferred maintenance, overall the university's infrastructure continues to age.

As noted above, the Ministry of Advanced Education, Skills and Training funded an assessment of the university's deferred maintenance. This assessment work included looking at all academic buildings on campus to determine each building's physical condition using an industry standard index called the Facilities Condition Index or FCI. An FCI number below 10 indicates that the buildings are generally in good condition and an FCI rating between 10 and 30 is considered poor. The VFA data is reviewed and updated annually, taking into account further aging of the buildings, pricing changes and any projects undertaken to address deferred maintenance. While government has increased annual funding available to address deferred maintenance through the Routine Capital program, the university's FCI continues to increase. The university's current FCI (January 2020) is 48%, with the value of the work required over the next five years (excluding seismic) estimated at \$593M (excluding housing)<sup>2</sup>. Given the magnitude of these infrastructure issues, and the fact that these values will continue to grow over time, deferred maintenance continues to be a top priority.

With all the above, it is critical that capital planning efforts over the next five years address expansion for academic program requirements to support government funded growth (computer science and engineering and JD/JID), as well as deferred maintenance in order to continue to address building renewal and seismic projects. The capital projects and projects in planning outlined in this document reflect the institutional priorities as articulated in our indigenous plan, our campus plan, our research plan and our planning and budget framework. All of these plans support the university's overall key strategic priorities as articulated in its strategic framework:

- Cultivate an extraordinary environment;
- Advance research excellence and impact;
- Intensify dynamic learning;
- Foster respect and reconciliation;
- Promote sustainable futures; and
- Engage locally and globally.

In addressing the above goals, the university's Sustainability Action Plan: Campus Operations, provides the following guidance that will inform specific project planning:

<sup>2</sup> Student housing has a current 10 year deferred maintenance plan to undertake \$82M in projects. Progress has been made towards this plan. In 2020, 3 buildings with significant deferred maintenance will be removed as part of the Student Housing and Dining Project. As a result a new deferred maintenance plan needs to be developed to prioritize future work.

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- Institutional greenhouse gas emissions reduction of 30%<sup>3</sup> by 2021;
- Reduce campus electricity consumption intensity by 18%<sup>3</sup> by 2021;
- Reduce campus natural gas consumption intensity by 30%<sup>3</sup> by 2021; and
- All new building projects and major building additions will provide for a high-performance building envelope and passive design strategies to promote energy efficiency, climate resilience and greenhouse gas emissions reductions.

Capital priorities are reflected in annual fund raising goals and priorities established by the university as appropriate.

### C. PLANNING ASSUMPTIONS

As noted above, the university experienced significant student growth during the first decade of this century. This growth was largely a result of substantial investments by the provincial government to increase post-secondary access in British Columbia. Over the most recent few years, the rate of growth has moderated, with domestic student enrolment growing modestly and international enrolment growing more significantly, though over a much smaller enrolment base. Such growth is not expected to continue and overall, the university over the next five years is expected to remain about the same size. Enrolment, however, is not distributed uniformly across the university – programs that have felt and will continue to feel the strongest pressure from rising international numbers and domestic shifts and realignments are Engineering and Computer Science, Business, and Economics. In addition and as noted earlier, government funding will support an increase in Engineering and Computer Science students. These areas of growth reflect student demand, institutional priorities and alignment with provincial government priorities. The capital priorities outlined in this document have been developed to address the academic space pressures resulting from this growth as well as address growing deferred maintenance issues.

During 2015/16 the university updated its campus plan. This plan sets out the long term vision for the campus, including complementary goals and guiding principles. Capital projects within this Five-Year Plan are developed within this overall long term framework.

### D. PROJECT DETAILS

Capital projects fit into three categories: recently completed, currently under construction or in planning. While the focus of the five-year capital plan is projects in planning, the following section also outlines information on recently completed and current projects, in order to provide a comprehensive picture as well as to provide continuity between approved plans.

#### 1) Successfully Completed Projects

The district energy plant was completed during 2019-20. This project included the replacement of our aging boiler plant with a modern, energy efficient, industrial-grade boiler plant in order to

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<sup>3</sup> Baseline of 2010

mitigate the risk of boiler failure, as well as reduce energy use and carbon emissions of the system. This project has transformed the district heating system and improved system efficiency by allowing operating temperatures to be adjusted to meet the specific requirements of research and teaching labs, and ensure greater optimization and efficiency of the research environment.

Also during 2019-20, there were several smaller scale projects completed, including:

- Bio-level safety upgrades within engineering labs;
- Ian Stewart Ammonia plant safety upgrades; and
- Various projects aimed at supporting campus renewal, including roofing, elevators, building alarm monitoring systems (multiyear project ), life safety upgrades etc.; and

The above smaller projects were supported by the Provincial Government through their routine capital program, the funding of which has increased to ~\$15M per year, including the university's required contribution of 25%.

## 2) Projects Currently under Construction

There are new building projects either currently under construction or approved to move to construction as follows:

### i) Student Housing and Dining Project

UVic is a destination university with over 75% of our students coming from outside of Victoria. A comprehensive student housing demand study found an immediate need for, at a minimum, a 600-bed expansion. In 2019 an expansion of 620 net new beds was approved to move to construction.

This expansion will be achieved through the construction of two new separate buildings. The first building, located along Ring Road, will contain 418 beds and the new dining facility. This location necessitated the removal of the current Margaret Newton and Emily Carr Buildings in May / June 2020, both of which have significant deferred maintenance. The second building, located on the current Cadboro Commons site, will contain 364 new beds, two new classrooms, cultural support space and institutional conference and meeting space. The conference and meeting space is a required component of the project as the Cadboro Commons building currently contains the university's conference and meeting spaces. Through utilizing a modular dining solution installed on parking lot B the first building along ring road is expected to be complete in summer 2022, with the second building complete in spring 2023.

The project will be built to Passive House standards which will allow for reduced overall greenhouse gas emissions once the project is complete.

The approved project budget is \$228.8 and is funded from incremental housing and food revenue and a \$5.2M contribution from the Province towards Passive House costs.

**ii) National Centre for Indigenous Law – an addition to the Fraser Building**

This addition to the Fraser Building will house UVic's new dual degree program in Common Law and Indigenous Legal Orders (JD/JID), that welcomed its first cohort of students in Fall 2018, and will serve as a national centre for critical engagement for research and education in Indigenous Law. This program, funded by this government for 96 FTE JD/JID students, will have transformational effects in communities across Canada, realizing the Truth and Reconciliation Commission's (TRC) hope that Indigenous and non-Indigenous peoples should live together in peace and prosperity. This project is a key step towards UVic's goal of being a global leader in creating better opportunities for Indigenous students, entering respectful educational and research partnerships with Indigenous Communities, and directly responding to the TRC's call to action 50. As well as the addition, the project includes renovations to the Fraser building for office and student gathering spaces. The budget for the addition is \$27.1M, funded from contributions from the federal and provincial governments of \$9.1M and \$13.0M respectively. The balance of the project is funded from an external donation.

**3) Capital Projects in Planning**

This section outlines the priority capital projects for the university for the coming five years. Ministry guidelines classify major capital projects into three categories:

- I. New priority requests, which include new buildings or additions to current buildings;
- II. Whole asset replacement and renewal projects, which are those projects where 50% or more of the asset is renovated; and
- III. Student Housing.

With this categorization, some projects that would be considered major capital by the university given their size (over \$5.0M) are now categorized as Major Maintenance and Rehabilitation (MMR). MMR projects are those projects, with no dollar limit, where the renovation is less than 50% of the asset value. These projects have a separate Ministry funding process from whole asset replacement and renewal, and are therefore not considered part of the five-year capital plan process. In order to provide a complete picture of significant capital priorities on campus, current university priorities with respect to MMR greater than \$5.0M have been included below in their own section.

The following, in priority order, are the major capital projects for the campus:



### **1) Addition to Engineering and Computer Science Building (category I – new priority)**

UVic has responded to changing student and societal demands for programs by shifting resources and programs to align with provincial labour market outlooks. To support this demand, UVic added a Civil Engineering program to the Faculty of Engineering which has a unique focus on training engineers to develop infrastructure with reduced environmental impacts, while continuing to meet social and economic needs of communities, cities and regions. Demand for computer science and engineering programs overall has been high, resulting in a decline in the percentage of students accepted and thereby increasing the high school grade point average cut-off for admission, resulting in decreased access for students. To meet this growing demand, government has committed to providing the university operating funding to support expansion by 500 FTEs. While operating funding is available to support the program, capital funding is necessary to be able to accommodate this level of growth.

An addition to the Engineering and Computer Science Building (ECSB) plus an adjacent high bay structure building will provide the space required to support this expansion. The addition will provide office, teaching and research space required to mount a world class teaching and research program. Such space includes design space, building science and materials labs, environmental labs and geotechnical labs. In order to undertake research and teaching with respect to structures, the adjacent building is required for the large volume high bay lab space required for the structures component of the civil program that cannot be accommodated within the building addition, given site constraints. The addition, to the south end of the current ECSB, would total ~5,560 square metres, with the high bay structures lab located south of the engineering lab wing totaling ~2,130 metres. Siting, programming and schematic design work is complete and the project is ready to move forward once funding is secured.

#### **Project Funding**

The total cost for the addition to the ECSB and the high bay structure is \$89.6M. This project addresses one of the institutional space priorities - incremental space for the Faculty of Engineering. It is expected to be supported primarily through funding from the Ministry of Advanced Education, Skills and Training together with philanthropic and university funding.

### **2) Addition to Business and Economics Building (category I – new priority)**

Much like the demand for Computer Science and Engineering, student demand for Business, including entrepreneurship and innovation, has been very strong. UVic's Peter B. Gustavson School of Business has expanded by creating two additional cohorts and expanding its BCom minor program. Like Engineering, Business graduates are in demand.

This project includes an addition to the current Business and Economics (BEC) building (on the north side of the building) to provide for additional capacity to address program growth

and will provide incremental space for classroom and seminar spaces, academic offices and student support spaces. The preliminary planning for the building expansion indicates that the addition will be ~4,000 gross square metres.

#### Project Funding

The estimated cost for expansion is ~\$32.4M. This project addresses one of the space priorities noted above, which includes incremental space for the Faculty of Business. It is expected to be funded through a combination of philanthropic sources, Ministry of Advanced Education, Skills and Training and university funding. Project timing will be dependent upon securing philanthropic and Ministry funding.

### **3) Campus Renewal Program (category II – whole asset replacement and renewal)**

The university has undertaken a review of buildings on campus to identify next stage building renewal priorities. Projects identified considered the state of the current building condition in relation to preliminary seismic risk screening, as undertaken for the Gordon Head campus buildings in early 2012. With significant renewals in Petch completed over the last two years, the next major renewal projects are the Fraser and McPherson Library buildings. The Fraser project fits within the whole asset replacement category as the project costs are over 50% of the building's value, and is therefore provided for in this plan, while the McPherson project will be a future project within Major Maintenance and Rehabilitation. These renewal projects will be completed in conjunction with seismic work where possible. Some or all of this project would ideally be completed in conjunction with the construction of the National Centre for Indigenous Law noted as priority 2 above, as it is an addition to the Fraser building. Planning will be undertaken in 2019/20 to determine which components can be included in the overall project and funding sources.

#### Project Funding

The projected budget for the Fraser Renewal is estimated at \$33M and is expected to be funded primarily from the Ministry of Advanced Education, Skills and Training.

### **4) Campus Active Transportation Infrastructure**

The Active Transportation Improvement Program will enhance active transportation modalities through the renewal and upgrading of current linear assets as outlined in the University's Campus Cycling Plan, the Greenway Project and a renewal of the transit exchange. Once implemented, this project will improve pedestrian and cycling access on and through campus by renewing and upgrading 2.1 kms of pathways and 3.5 kms of roadways. Upgraded amenities are a key strategy in achieving our goal of 70% of all trips to campus utilizing transit, cycling, walking or carpooling.

### Project Funding

The projected budget for the Active Transportation Improvement Program is estimated at \$18.4M and is expected to be through a combination of Federal, Provincial and university funding.

### Major Maintenance and Rehabilitation Projects (MMR)

The Knowledge Infrastructure Program (KIP), funded by the federal and provincial governments, provided funding to undertake renewal and seismic work within six of our oldest buildings on campus. One of the requirements of the program was that the work had to be completed by a required deadline. Given the program time constraints, some seismic components could not be completed while still maintaining classes. As such, seismic work still needs to be completed for Clearihue, MacLaurin, Elliot Lecture Theatre and the University Centre Auditorium (the KIP buildings).

With respect to the remaining buildings on campus, a preliminary structural study has been completed that evaluated building risk during a seismic event affecting the campus. This information, in combination with the deferred maintenance assessment, will be used to develop future overall building renewal and seismic programs. In order to advance the seismic program, during 2016/17, detailed planning work to tender-ready documentation, was completed for McPherson, MacLaurin, Petch, Campus Security, Saunders and the University Centre Auditorium. Seismic work has been completed for both Saunders and Campus Security buildings. As part of the routine capital funding envelope from the Province, seismic work on MacLaurin D Wing is underway with completion expected in summer 2020.

The estimated budget to address all the seismic work in the McPherson library, Petch and University Centre totals ~\$60M. Detailed cost estimates for Clearihue and Elliot Lecture Theatre have not yet been completed. These projects are expected to be funded primarily from the Ministry of Advanced Education, Skills and Training and will not proceed without this funding.

## **E. PLANNING ACTIVITIES**

In order to ensure that institutional infrastructure and future five-year capital plans continue to reflect institutional needs and priorities, each year planning activities are undertaken to inform future capital development and planning. Over the next couple of years such planning activities are expected to include:

### **a) Academic and Non-Academic Support Needs**

The current five-year capital plan has a number of expansion priorities that address needs within specific faculties to generally address space pressures resulting from student enrolment growth. We are hopeful that funding for the top priority project will be secured over the next year. As this project, along with the National Centre for Indigenous Law, moves from planning to implementation it is important that planning for future capital

requirements is started, as the timeline from project vision to project completion is often significant.

One of the strategies in our Strategic Framework 2018-2023 is to promote more collaboration, partnerships and interdisciplinary approaches. This goal leads to thinking about and planning for more flexible, multipurpose shared space. Most of the current buildings on campus, however, are discipline based and have therefore been built to address particular needs. While this approach ensures that infrastructure for specific programs are addressed, current space planning and configurations generally don't support well the above strategy and may not, in some cases, be an efficient allocation of space.

In order to address this strategy we need to consider and plan space differently. In developing the next large expansion, project planning should include broad space type requirements that can be used across faculties and /or departments, and that can be built to provide for future flexibility. Planning should also consider that some of our current buildings were never intended to accommodate many of the current research requirements and trying to renovate to address these needs can be extremely costly. As a result, it may be better to build newer facilities and convert current spaces to other purposes.

In developing capital expansion based on space types, consideration can still be made for how these spaces can support the needs in various faculties with overall space pressures. The current capital plan is based on planning undertaken five years ago that analyzed overall space needs. This work indicated that the need was most acute for the Faculties of Engineering, Science, Social Sciences and Business. The current plan provides for additions to support Engineering and Business, and work over the last two years has provided some incremental space in the coming year for Social Sciences and Science. Given this, an updated needs assessment should be undertaken that can inform the overall space type planning process. This work can also consider specific needs such as regulatory requirements related to the storage of the university's art collection, requirements for student common space, and space to support indigenous and other institutional priorities.

### b) Alternative Fuel Options

While the primary purpose of the district energy plant project was to replace our aging infrastructure, its completion, along with the installation of associated energy transfer station installations, has improved the overall efficiency of our district energy system. This efficiency will help to reduce our institutional carbon emissions and will help with getting us close to attaining our goal of a 30% greenhouse gas (GHG) reduction below 2010 levels. The new plant is still powered by natural gas, and natural gas consumption accounts for ~90% of UVic's GHG emissions. In order to fully realize our reduction goal and to move beyond it, the university needs to explore alternative energy sources. Over the next couple of years, in conjunction with the renewal of the climate and sustainability action plan, alternative energy sources will be explored, including the potential use of bio-solids. While alternative energy sources will be explored, it is expected that the district energy plant will continue to play a critical role in heating the campus for the foreseeable future.

### c) Child Care Expansion

The Provincial government has launched the Childcare BC New Spaces Fund. The purpose of this fund is to accelerate new licensed childcare spaces within BC. The fund provides for up to \$3.5M for public sector projects. UVic has a long history of excess demand for childcare spaces and we have been unable to address this need due to lack of space and capital funding to construct facilities. This program provides UVic a good opportunity to address some of this excess demand. Planning is currently underway to understand the space requirements and determine an appropriate site for a potential expansion to childcare. The Campus Plan articulates that the build out of the campus should promote compact development. This overarching goal, along with a limited land base, means that all future development should ensure efficient use of the land. A stand-alone childcare facility would be quite small and therefore work is underway to determine compatible uses for a larger project.

### d) Future Parking Requirements

The construction of the new student housing and dining project commenced in May 2020 and the addition to the Fraser building will start in late 2021. If the expansion to engineering is approved, construction for the project is also anticipated to commence in late 2021 resulting in a significant level of construction activity on campus. This level of construction activity, combined with growth in student, faculty and staff for engineering expansion and the JD/JID program, will put significant pressures on campus parking infrastructure. Work has already begun to look at options to not only manage through this period of high construction activity but to develop a longer term plan for parking. As part of this planning, we are also examining our transportation choices program as well as parking permit pricing.

## F. SUMMARY

The University of Victoria's five-year capital plan reflects the academic priorities of the university. As demonstrated in our own Planning and Budget Framework, our Institutional Accountability Plan and Report to the Ministry of Advanced Education, Skills and Training, our top priorities are to support all students; meet existing and anticipated program demand; and ensure our programs are of the highest quality. In order to support these institutional priorities, capital planning efforts over the next five years will need to address both academic program and student housing space (in progress) pressures through some expansion, as well as deferred maintenance requirements through renewal and seismic projects.

The above plan outlines the projects required or in process to support these important institutional goals. The top priority new projects are an addition to Engineering and Computer Science building, an addition to the Business and Economics building, a campus building renewal program and a renewal of campus active transportation infrastructure.

# APPENDIX 1: Space Inventory Compared to Standards

Space Category Number	Space Category Name	BC Space Standards Formula	Nov 1, 2019 Age Adjusted* Inventory	NASM Surplus	NASM Shortfall	Inventory as a Percentage of BC Standards
1	Classrooms	17,730	16,271		1,459	91.8%
2	Undergraduate Labs	22,646	22,238		408	98.2%
3	Research Labs	23,866	21,423		2,443	89.8%
4	Academic Offices	48,304	33,943		14,361	70.3%
10	Administrative Offices	21,549	18,341		3,208	85.1%
5	Library Stack/Study/Service	20,740	19,376		1,364	93.4%
6	Recreation/Athletics	12,305	13,436	1,131		109.2%
7,8, 11-15	Student and Central Services	27,730	22,204		5,526	80.1%
9	Maintenance Space	3,359	5,108	1,749		152.1%
				2,879	28,769	
TOTAL NASM		198,229	172,339		25,889	86.9%



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR INFORMATION**

September 17, 2020

**To:** Operations and Facilities Committee

**From:** Carrie Andersen, University Secretary

A handwritten signature in blue ink, appearing to read 'Carrie Andersen'.

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** Equity and Human Rights Annual Report

**Basis for Jurisdiction:** University Act, s. 27  
British Columbia Sexual Violence and Misconduct Policy Act  
University Policies, GV0205 & GV0245  
Board Procedures, s.8

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**Background:**

The purpose of the Equity and Human Rights (EQHR) annual report is to inform the Board of Governors and university community of the annual activities of EQHR to advance the mandate of the office and implement university policies. The report also responds to the legislative requirement that the university president of a post-secondary institution report to the governing body on the implementation of the post-secondary institution's sexual misconduct policy (Sexual Violence and Misconduct Policy Act, section 6.2).

**Summary:**

This 2019-2020 EQHR annual report provides an overview of the period September 2019 through August 2020. It highlights the work and direction of the office's work in proactive education and training, case resolution and policy implementation.

EQHR provides a leadership and coordinating function, building and fostering partnerships across the university community, with campus groups and constituencies, with senior leaders, and liaising with experts and groups on and off campus. In this way we are harnessing the expertise of our small team and embedding principles in every corner of the campus.

**Highlights support of these goals includes:****Communication and Education**

- Over 30 training sessions on unconscious bias in support of inclusive and fair hiring practices (mandatory for all CRC search committees, and available upon request to any unit on campus and to any preferential or limited hire search).
- Progress on a systemic approach to education for decisions at all stages of employment.
- Canada Research Chairs EDI Action Plan was considered by the CRC secretariat to "fully satisfy" their EDI requirements.
- Advancing the initiative to Embed Equity at UVic: with a focus on shared practices or common activities that will establish a baseline of equity practice across UVic.
- Over the course of the year, over 80 workshops including "anti-racism awareness", "equity, diversity, inclusion in the workplace", "creating an inclusive, respectful, and welcoming classroom", and "rooting out bullying, harassment, and discrimination in the workplace".
- Significant uptake in Anti-racism education training designed around three intersectional modules to meet people where they are at: Awareness, Intervener, and Change-Maker with over 900 community members trained.
- Tailored sexualized violence education programs: Department of Theatre, Graduate students in the Faculty's of Engineering and Science.
- Successfully hosted the annual 5 Days of Action in partnership with the University Community.
- A set of principles and design and implementation guidelines in support of Universal Washrooms.



### **Policy response**

- 128 individuals visited EQHR expressing concerns of varying natures under the Discrimination and Harassment policy
- Investigated 4 formal complaints under the Discrimination and Harassment policy
- 38 Disclosures under the Sexualized Violence Prevention and Response policy
- 3 Formal Reports under the Sexualized Violence Prevention and Response policy.

EQHR will continue to build on the successes and learn from the challenges of 2019-2020.

EQHR is in the process of establishing our annual service plan for next year and has identified the following high-level priorities:

- Continue to build an institutional EDI Framework
- Build upon and broaden the reach of education and training programs
- Continue to strengthen strategic partnerships
- Advance the policy review process
- Strengthen the use of all forms of alternative dispute resolution
- Develop new and creative communication strategies for embedding equity, diversity, and inclusion

## Introduction

This annual report (August 2019-August 2020) provides an overview of the initiatives, priorities, and ongoing response work undertaken by EQHR and is organized into four sections:

1. Proactive education and training
2. Case resolution
3. Policy review
4. Looking ahead

## COVID19

EQHR's priorities and goals were impacted by the response to COVID19. Moving from a primarily in person service, providing in person consultations, in person workshops and trainings, and hosting on campus events, to a virtual service took learning and time. We are now 100% able to offer our services virtually. While the learning period slowed the progress of some initiatives, we are excited about the new ways we can interact with the university community.

## Strategic partnerships

Building an environment on a foundation of equity, diversity, inclusion, and freedom from sexualized violence, discrimination, and harassment takes the entire university community. EQHR provides a leadership and coordinating function, building and fostering partnerships across the university community, with campus groups and constituencies, with senior leaders, and liaising with experts and groups on and off campus. We harness the expertise of our small team to embed these principles into every corner of the campus.

The Executive Director, EQHR meets regularly with UVic's senior executive, President and Vice-Presidents, and sets priorities for projects and programs for the year to come. In all of the initiatives, projects and programs highlighted in this report, a senior leader, President, Vice-

### ***Equity and Human Rights***

*Our team works with compassion and integrity, applying a human centred and trauma informed approach to all that we do. We aim to be flexible and dynamic.*

*We are an access point, a resource, and a policy navigator for all UVic community members. We provide education, advice, support and consultation to reduce barriers in order to achieve respect, consent, equity, inclusion and belonging with a focus on social justice and institutional accountability.*

*We believe that our campus should represent the diversity of our larger communities and that every person should be treated equitably, and supported to achieve their highest potential. We partner across UVic and the greater community to embed these fundamental values throughout all aspects of UVic.*

President, or Associate Vice-President, is a key university partner and stakeholder working to advance and embed the initiative.

## Section 1: Proactive Education and Training

“to promote a culture of consent, respect and fairness”

EQHR works across the university to educate and train teams, committees, classes, individuals and groups. To this end, our work is organized around four goals:

- a. Achieving equity and inclusion in all aspects of the employment experience for faculty and staff
- b. Delivery of human rights education and training
- c. Delivery of sexualized violence education and prevention strategies
- d. Events and opportunities to inform the university community and promote, consent, respect and fairness

### a. Achieving equity and inclusion in all aspects of the employment experience for faculty and staff

From the representation data collected, UVic develops equity hiring goals and reports annually on the diversity data for the university as a whole and for faculty and staff. EQHR continues to work with partners in Research Services, Faculty Relations and Human Resources to rethink our approach to equity data collection and use, acknowledging data is the cornerstone for understanding our progress. This includes thinking more broadly about intersectional and disaggregated data and bringing in new data categories. The work also includes considering the use of qualitative “climate” data through focus groups and qualitative surveys. Slowed by the COVID19 pandemic, this work is planned to begin in 2021.

Data from August 31, 2020		
UVic Representation--Continuing Faculty/Staff		
Designated Group	Number	Representation
Women	1865	58.2%
Indigenous	88	3.8%
Persons with a disability	100	4.3%
Member of a visible minority	308	13.3%
Participation rate for all UVic employees:	86.4%	
Number who took survey	2,313	
Total number of employees (surveyed)	2,676	
Total employees	3,205	

*Representation for Indigenous peoples, persons with disabilities and members of visible minorities reflects self-identification, and is reported based on those people who have taken UVic's self-*

identification survey. We use this number to avoid making assumptions about the identity of those who did not take the survey.

## **Bias free hiring**

EQHR offered 31 training sessions, for individuals, search committees and units on the negative impacts of unconscious bias and on creating more inclusive processes to support effective, fair hiring. New topics included approaches for preferential and limited hiring (mandatory for all CRC search committees, and available upon request to any unit on campus and to any preferential or limited hire search). In addition, materials for search committees were developed and put online for ease of access. This training and other important work formed part of the Canada Research Chairs EDI Action Plan, which was considered by the CRC secretariat to “fully satisfy” their EDI requirements.

EQHR began a new project in 2020 to develop a systemic approach to education for decisions at all stages of employment, from hiring through review and promotion. Given the current hiring requirements for faculty, project will begin with developing a model for faculty education and then expand to other employment contexts.

In collaboration with the Faculty Association and in consultation with offices and individuals across campus, we have developed a first draft of a four-stage model to support equity in faculty decisions for hiring, review, promotion and tenure:

1. Foundational online asynchronous course covering key concepts such as equity in determining merit and fit
2. Group training using complex scenarios based on the UVic context
3. Facilitated conversation and guided activities for each committee to establish equity-generating considerations and processes within their work
4. Additional support for those who chair these committees to manage the complex dynamics required to establish equity

These four stages will be piloted and continually evaluated to ensure their content keeps pace with evolving understandings of equity. It is anticipated that all who participate on such decision-making committees will have taken the training and regularly take updated versions to help the university continually grow our equity knowledge and practices.

## **Expand. Engage. Encourage: Embedding Equity at UVic**

At UVic, we each have responsibility and a role to play in creating an equitable, diverse and inclusive community. Work over the previous years showed that while the Employment Equity Plan provided an essential philosophical and ethical orientation to equity in employment, the description of equity activities and methods for monitoring progress were limited. Through consultation with campus partners, EQHR developed a streamlined articulation of key activities that advance equity. This core of common activities will establish a baseline of equity practice across the institution in support of the equity, diversity and inclusion priorities in the Strategic Framework. Focusing on shared practices will provide clarity for the work, resource development, and reporting and monitoring. These practices will supersede existing commitments to activities in the EEP, though we hope that existing initiatives that

supplement this core work will continue. The new activities are a baseline, and the creativity of the university community in meeting and expanding on these activities is welcomed.

Resources to support units in establishing these new activities have been developed and are now available through the EQHR website.

## **b. Delivery of human rights education and training**

Proactive education that is strategic, coordinated and well planned is essential to educate the broad campus community on issues of equity, diversity, anti-racism, conflict resolution, inclusion and human rights. We approach such a proactive human rights education through an intersectional and anti-oppressive lens. We offer many workshops and trainings in this area. Over the course of the year, over 82 workshops have been delivered on topics that include: “Equity, diversity and inclusion in the workplace”, “Creating an inclusive, respectful, and welcoming classroom”, and “Rooting out bullying, harassment, and discrimination in the workplace”, “anti-racism awareness”, and “enhancing conflict competencies” for faculty.

### **Anti-Racism Education**

EQHR has developed a collaborative anti-racism education initiative with various university partners to combat racism and create educational events and programs that directly address the societal and systemic attitudes and behaviors that perpetuate racial discrimination and other intersecting social inequities. This initiative is designed around three intersectional modules: Awareness, Intervener, and Change-Maker. The key objectives are to support UVic staff, faculty and students: to understand anti-racism as a UVic value where, as university members, we should embed practices of equity, diversity, dialogue and inclusion in ways that make other members of the community feel welcomed, valued, and supported to achieve their highest potential.

Since August 2019, EQHR has been offering a workshop on Anti-racism awareness: A pathway to self-reflection and action (40 workshops to date) to more than **934** community members. This workshop has demonstrated a growing interest in intersectional anti-racism education training on campus. Many UVic department and units have attended these workshops (e.g., Dean’s council, VPAC office, Associate Vice-President Student Affairs Campus security, and various departments and campus units).

### **Enhancing Conflict Competencies: Developing attitudes, process and skills**

EQHR is continuing to refine and develop the course, “Enhancing conflict competencies: developing attitudes, process and skills”, offered to UVic faculty. This course is designed for faculty looking for ways to develop enhanced conflict competencies including:

- increased self-awareness about personal conflict handling styles and behaviours
- conflict resolution and associated communication skills (curiosity, listening, and emotional awareness/management) to enhance approaches to collaborative conflict engagement
- process awareness and skills to facilitate more efficient, focused and organized conflict resolution discussions
- collegial attitude towards conflict engagement and resolution in the workplace/department/faculty.

The Associate Vice-President Faculty Relations and Academic Administration champions this program and supports its inclusion in ongoing training opportunities for academic leaders.

## c. Delivery of sexualized violence education and prevention strategies

### Educational Programs

EQHR continues to partner with key units and departments around campus to deliver tailored training to specific audiences. For example, EQHR and the Office of Student Life continue to update and deliver the student-focused program called “Tools for Change”. The program, offered in-person and on-line, focuses on key principles in relation to sexualized violence prevention, how UVic defines sexualized violence and consent, as well as how to provide a trauma-informed response. This is in addition to ongoing training offered to staff and faculty. New this year is the development of a webinar that focuses on sexualized prevention and response in online settings, the “Spotlight” program designed with the Department of Theatre for all students, staff, and faculty involved in mainstage productions, as well as a pilot program for graduate students in the Faculty’s of Engineering and Science.

### Awareness and Impact

The student-facing campaign “Consent. It Starts with a Conversation” was an important addition to the existing suite of educational and promotional materials available on-campus, and was received enthusiastically by students, staff and faculty. New this year is an **Alcohol and Consent** campaign, which will launch in the fall of 2020 in print and online. During this last reporting period, 20 workshops were delivered by EQHR (in addition to those delivered by student-facilitators through the Office of Student Life). While this number is significantly lower than last reporting period this is due to a large number of sessions postponed due to COVID-19 and due to the large number of staff and faculty who have already attended one or more sessions and who also have our Quick Guide for reference. This is evident by the large number of consultations the office received from students, staff, and faculty across campus who are aware of the office and are seeking information, advice, and consultation.

EQHR continues to collaborate with the Office of Student Life, the University of Victoria Students’ Society and the Anti-Violence Project to hold UVic’s annual **Sexualized Violence Awareness Week** as well as other, smaller, year around activities designed to promote awareness while engaging students in practical skill-building opportunities such as our most recent **Let’s Talk about Sex** events.

## d. Events to promote consent, respect and fairness

### 5 Days of Action: EQHR’s Signature Week of Events

UVic’s second annual **Five Days of Action: 365 Days of Commitment** took place over November 4-8, 2019. This week-long event is organized around 5 calls to action designed to tackle racism, sexism, homophobia, transphobia, ableism, classism, sexualized violence and religious intolerance on campus. In 2019, 360 people registered in workshops from over 100 units on campus. Art is an important facet of the events, and this year we featured a large set of painted numbers (1, 2, 3, 4 & 5) that were installed in the quad each day to represent the day of the event. Students, staff, and faculty were asked to write their reflections on the numbers relevant to the day of the week.

Other key events organized and supported by EQHR include the National Day of Remembrance and Action on Violence against Women (NDRAVAW) December 5th 2018; and Orange Shirt Day, organized in partnership with the Office of Indigenous Academic and Community Engagement, and University Communications and Marketing, along with other campus units and departments.

## **How to be Inclusive Online**

In response to inclusion concerns raised at the start of the global pandemic when meetings and instruction moved online, EQHR developed a set of guidelines synthesizing ways to create inclusive online environments, for meetings and teaching, and synchronous and asynchronous contexts. The document encourages facilitators and instructors to attend to inclusion during planning, thus enabling participants to be present, engage meaningfully, contribute and learn. Attending to inclusion will also help avoid discrimination and barriers to access across the campus community.

## **Universal Washrooms**

In fall 2019, UVic concluded the work of the Inclusive Washrooms Advisory Group. This group, comprising faculty, staff and students representing diverse positions and identities, developed a series of principles and a set of design and implementation guidelines in support of enhancing access to washroom facilities at UVic.

“Universal” means spaces that can be accessed by people of every gender, and with a full range of identities, abilities and social positions. Universal washrooms are essential if we want a campus that can be accessed by a diversity of students, faculty, staff and community members. The ready availability of safe and comfortable washroom options is a basic requirement to support the diverse community that studies, works, lives and visits the campus. Not providing such spaces creates a systemic barrier which unfairly limits access for some groups.

Information on Universal Washrooms, as well as other aspects of access to washrooms, is housed on a new website..

## Section 2: Case Resolution

### “coordinate and implement fair, transparent, and timely resolution options for incidents brought forward under the policies”

EQHR provides an impartial complaint resolution services to all UVic community members. This includes responding appropriately to concerns and complaints of discrimination and harassment and disclosure and reports of sexualized violence. Our work in response to issues brought forward is governed by the Discrimination and Harassment (GV0205) and Sexualized Violence Prevention and Response (GV0245) policies.



## Discrimination and Harassment Policy (GV0205)

Individuals seek advice and counsel from EQHR based on their interpretation of the policy through the lens of an experience they endured. Due to the unique nature of each person's story, we always begin with a confidential consultation. A confidential consultation provides individuals with an opportunity to share their concerns, in a confidential capacity, and may involve advice and assistance in navigating the university's systems, recording concerns, or support in having a difficult conversation or managing a conflict.

EQHR works hard to support folks through a process that best suits their needs and goals for resolution. Staff in EQHR, where appropriate, first attempt to resolve complaints through an informal resolution process. Informal resolution can involve creating a file for future reference, coaching, or alternative dispute resolution such as mediation, accommodation, communication that the behavior is unwanted, or education for the respondent, the complainant or an entire unit. Often several of these methods are employed.

Between September 1, 2019 and August 31, 2020 EQHR met with 128 individuals expressing concerns relating to the Discrimination and Harassment policy. Of these, 57 proceeded through an informal or formal resolution process and, for a variety of reasons, 71 participated only in the confidential consultation stage.

In addition to these informal case files, the office was engaged in navigating 4 formal complaints this reporting period. Formal resolution involves a full investigation, usually by an external investigator, into whether the policy has been violated and may involve an appeal process. It results in findings and may lead to disciplinary processes. Over the reporting period, 4 formal investigations were completed. Of these, 1 resulted in finding that the Discrimination and Harassment policy was breached.

The following table lists the breakdown of formal investigations by population

Formal Reports: September 2019 – August 2020					
	Faculty	Staff	Grad Student	UG Student	Total
Complainant	0	0	1	3	4
Respondent	1	3	0	0	4

**\*The total number of Formal Investigations may include both investigations and appeals**

### Types of incidents

The large majority of complaints were of personal harassment, including workplace bullying and harassment, abusive and demeaning behaviour, and differential treatment. The office saw an increase in the amount of folks requesting mediation or coaching as a means to address their concerns. When appropriate, EQHR hired third party mediators to mediate or facilitate conversations between the two involved parties. From September 1 2019-August 31 2020, EQHR logged over 125 hours of mediation.



The office received a significant number of confidential consultations that were from individuals who were not directly involved in the incident, but rather someone who was a third party seeking advice on how to navigate the system or what resources they might provide to an individual who was involved. In these instances, the office provides advice and feedback and, if appropriate and/or requested, will follow up with the individual.

The following table lists the general grounds for complaint from September 1 2019 to August 31 2020.

Ground for Complaint	Total
Sexual Harassment	12
Gender	12
Race	15
Disability	12
Sexuality	2
Religion	1
Age	1
Family Status	2
Personal Harassment or Interpersonal Conflict	62
Other	43
Total	162

“Other” encompasses all consultations that may not fall under the other categories, as well as third party consultations.

The following table lists the breakdown by population of complainant.

	UG Student	Grad Student	CUPE 951	CUPE 917	CUPE 4163	PEA	Faculty	Management Exempt	Other
Complainant	38	12	9	2	2	15	31	4	19

\*some individuals hold more than one role at the University and incidents may be relevant to both roles

## Education and Awareness

The office is working on increasing the University Community’s awareness of the informal resolution process by designing a set of information sheets. Once complete, these handouts will help individuals make important decisions about what process will best serve them, as well as give them the tools to enter an EQHR process feeling informed and prepared.

## Sexualized Violence Prevention and Response Policy (GV0245)

During this reporting period we received 38 disclosures. While this appears significantly lower than the number of disclosures received last year (n= 57; 33% fewer), there are two factors that explain what appears to be a down cycle. First, the 2019-20 annual report represented a 15 month rather than 12 month reporting period. In 2019-20, between September 1<sup>st</sup> 2019 and August 30<sup>th</sup> 2020 we received 46 disclosures (only 8 more than this year). Secondly, 30% (n=14) of the disclosures within the 2019-20 reporting period occurred between March 15<sup>th</sup> and August 31<sup>st</sup> 2020, a period this year when UVic and British Columbia were working to respond to COVID-19.

Disclosures September 1 <sup>st</sup> 2019 – August 31 <sup>st</sup> 2020					
	Student <sup>1</sup>	Staff	Faculty	“Other” <sup>2</sup>	Total
<b>Survivors</b>	32	1	1	4	38
<b>Alleged Respondents</b>	23	2	6	7	38

1. A small percentage of these students also work as university staff, as student is their primary affiliation; for the purposes of these statistics, they are listed as students only.
2. “Other” is a category that includes alumni (both student and faculty), community members, or in the case of alleged respondents, as unknown. When looking to separate survivors and alleged respondents down into statistical categories it should be noted that in some cases a survivor may not know the identity or position of the person alleged to have breached the policy, or know but be unwilling to share that information with university staff (which is their right).

## Policy Jurisdiction

The policy and its procedures apply to all members of the university community. The university has jurisdiction when the incident occurred in one or more of the following circumstances:

- 1) On property controlled by the university;
- 2) When the respondent is/was in a position of power or influence over the survivor’s academic or employment status at UVic;
- 3) At an event or activity sponsored or under the auspices of UVic.

All survivors, regardless of whether there is policy jurisdiction for the purposes of an investigation, are entitled to information, advice, and support.

September 1 <sup>st</sup> 2019 – August 31 <sup>st</sup> 2020				
Jurisdiction	Yes	No	Unknown	Total
Totals	22	12	4	38
*Historical?	7		1	31 of 38 of disclosures happened in past 2 years

\* A historical disclosure is one that happened more than two years ago. In those cases where we did not know the date of the incident they are listed as unknown as to whether they are historical.

## Gender breakdown

Given the relatively low numbers in each category, we are unable to provide a gender breakdown by specific population. In some cases, the gender of the alleged respondent is unknown as they are not always identified to the office.

September 1 <sup>st</sup> 2019 – August 31 <sup>st</sup> 2020		
Gender	Survivor	Respondent
Male identified	2	35
Female identified	35	2
Trans/Gender Non-Binary	1	0
Unknown	0	2
Totals	38	40 <sup>1</sup>

- Note that in some incidents there is more than one identified alleged respondent which is why this number exceeds the total number of disclosures.

## Formal Reports

Between September 1<sup>st</sup>, 2019 and August 31<sup>st</sup>, 2020 three reports were made with the purpose of initiating an investigation. Many disclosures were addressed through informal resolution processes at the request of the survivor, and where agreed upon by the alleged respondent.

## Types of incidents

Similar to last year, many of the disclosures this reporting period are best described as unwanted sexualized attention including sexualized looks, comments, jokes, and come-ons. Despite being non-physical in nature these incidents were, in some cases, experienced as extremely harmful. In many cases these were one-off incidents, in a smaller number of cases the behaviour was described as a series of

incidents and/or on-going sexual harassment that included things like being sent romantic or sexualized text messages, emails, or images without consent. A small percentage of survivors described incidents that would constitute sexual assault level 1 under the criminal code, which is defined as unwanted touching or other non-consensual bodily contact for sexual purposes (without a weapon or bodily harm).

## **Types of supports offered and requested**

Each person who came to the office to make a disclosure (in contrast to those seeking a confidential consultation that did not result in a disclosure) were given information on the options available to them both in terms of support and policy process. The majority of those who made disclosures wanted formal documentation to facilitate future options, and most wanted accurate information so that they could make informed choices. Approximately 1/3 sought advice or informal resolution options (i.e., information on how to set boundaries, a third-party discussion with the alleged respondent about their problematic behaviour, or some form of mediation). A small minority wanted to file a report for the purposes of initiating an UVic investigation while others were supported in reporting directly to police for a criminal investigation.

## Section 3: Policy Review

Early in 2020, the President launched an EQHR Policy Review Committee to review both the Sexualized Violence Prevention and Response Policy, the Human Rights, Equity and Fairness Policy and the Discrimination and Harassment Policy with a priority on the former due to government deadlines.

### **Sexualized Violence Prevention and Response (GV0245)**

The Sexualized Violence Prevention and Response policy was implemented in 2017 and is undergoing its legislated three year review. Extensive and meaningful consultation is essential so we can learn how the university community understands the Sexualized Violence Prevention and Response Policy, how the policy can be improved, and what practices we can improve or implement. A three-phase consultation process is underway to gather input and information from the university community and beyond. These data will inform the revisions to the policy and procedures and related program recommendations. Final approvals and implementation of the sexualized violence policy and related programs are scheduled for January 2020. All consultation participants have the option of participating in an online survey and/or hosting or participating in a Conversation Café.

### **Discrimination and Harassment Policy (GV0205)**

The policy has served the university community well for several years, and is due for review based on the regular UVic policy review schedule. The review will focus on modernizing the policy language in the Policy on Human Rights, Equity and Fairness as well as a careful assessment of the procedures for informal and formal complaints and investigations. Starting in Fall 2020, the review will include appropriate consultation with the university community.

## Section 4: Looking Ahead

We will continue to build on the successes and learn from the challenges of 2019-2020. For 2020-2021 we have identified the following high-level priorities:

- Continue to build an institutional EDI Framework
- Build upon and broaden the reach of education and training programs
- Continue to strengthen strategic partnerships
- Advance the policy review process
- Strengthen the use of all forms of alternative dispute resolution
- Develop new and creative communications strategies for embedding equity, diversity, and inclusion

We look forward to working with you to achieve them in 2020-2021.



University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR DECISION**

September 14, 2020

**To:** Executive and Governance Committee

**From:** Cathy McIntyre, Chair, Board of Governors  
Carrie Andersen, University Secretary

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** Procedures of the Board 2020/21

**Basis for Jurisdiction:** University Act, s. 27(2)(a)  
Board Procedures, s. 6.5

Two handwritten signatures in blue ink. The top signature is 'Cathy McIntyre' and the bottom signature is 'Carrie Andersen'.

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**Recommendation:**

*THAT the Executive and Governance Committee recommend to the Board of Governors that the Board of Governors approve the Board Procedures, as attached, for the year 2020/21 and the Statement of Responsibilities of the Board of Governors and its Members.*

**Background:**

The Board Procedures require that the Executive and Governance Committee review the Procedures annually (along with the Statement of Responsibilities of the Board and its Members) and bring them for approval at the first statutory meeting in the fall.

One change to the Board Procedures is required to remove a reference to voting by fax in section 3.21.

No changes to the Statement of Responsibilities are proposed.

**Attachment(s):** Procedures of the Board

Statement of Responsibilities of the Board and its Members



University  
of Victoria

## Procedures of the Board

The Board of Governors is constituted as described in Part VI, Sections 18 to 34 of the University Act (R.S. Chap 468). Section 26 (1-3) provides details for meetings of the Board.

### 1. ELECTION OF CHAIR AND VICE CHAIR

- 1.1 The Chair of the Board shall be elected annually, from among the members appointed by the Lieutenant Governor in Council, at the last statutory meeting before the summer recess.
- 1.2 The Vice-Chair of the Board shall be elected annually, from among the members appointed by the Lieutenant Governor in Council, at the last meeting before the summer recess. The Vice-Chair becomes Acting Chair in the absence of the Chair.
- 1.3 Upon request of at least one (1) Board Member at the meeting, the elections referred to in 1.1 and 1.2 will be held by secret ballot.

### 2. CHAIR

- 2.1 The Chair shall recommend to the Board the committees necessary for the effective functioning of the Board. (See Section 27(2)(c) University Act.)
- 2.2 The Chair shall appoint the chairs and the Board members on each committee of the Board annually one month before the first fall meeting. The Chair will consider Board members areas of interest and the need for broad representation when making these appointments.
- 2.3 In the event of the Chair resigning or being unable to fulfill the duties of Chair, the Vice-Chair will assume the role of Chair.
- 2.4 Upon the Vice-Chair becoming Chair under 2.3 the Board shall hold an election for a Chair and Vice-Chair as soon as it is practical to do so.

### 3. MEETINGS

- 3.1 Meetings of the Board will be held in accordance with Section 26(1) of the University Act.
- 3.2 The time and place of meetings will be established by the Chair.



- 3.3 The Secretary shall prepare the agenda of Board meetings. In the preparation of the agenda, the Secretary will consult with the Chair and the President.
- 3.4 Meetings of the Board shall be open except for those items which the Chair or the Board shall determine to consider in "in camera" meetings.
- 3.5 The agenda for Board meetings will close at noon fifteen (15) days before the Board meets.
- 3.6 The draft Board agenda, Committee agenda, and documents will be delivered to Board members one week before the Board Committee meetings. The final Board agenda shall be tabled at the Board meeting.
- 3.7 Board materials for consideration in the closed session must be treated with confidentiality until the Board determines otherwise.
- 3.8 The draft open agenda along with the date of the committee meetings will be published seven (7) days prior to the meeting of the Board of Governors. Copies of the draft open agenda and open session docket will be sent to the Library, the presidents for the Faculty Association, unions, and students' societies when the agenda is published.
- 3.9 No cameras, recording devices or electronic communications equipment shall be used without the prior consent of the Chair.
- 3.10 Eight members of the Board shall constitute a quorum for transactions of the Board. (See Section 26(2) University Act)
- 3.11 The chair of a Board committee will report on the committee's activities and present its recommendations to the Board.
- 3.12 The Board Chair has the same right of voting as the other members of the Board, and, in the case of an equality of votes for and against a motion, the question is resolved in the negative, and the Chair shall so declare. (See Section 26(3) University Act)
- 3.13 The Chair will formally announce the outcome of each vote and this outcome will be recorded in the summary record. Any member of the Board may ask that the vote count or the member's individual vote or abstention be recorded in the summary record.
- 3.14 The Board Chair may recess the open session for a brief period or adjourn the open session and reconvene the Board in closed session in the event the Board is prevented from conducting its business in open session.
- 3.15 Attendance by proxy or vote by proxy is not permitted.

- 3.16 No motions or issues for discussion may be brought forward at a regular Board or Board committee meeting unless the matter is on the agenda.

A member must give notice of motion or an outline of the discussion topic in writing not less than fifteen (15) days prior to a future Board meeting. Such notice will be given to the Secretary of the Board. The Secretary in consultation with the Chair of the Board shall refer the motion to the appropriate Board Committee. Matters brought before the Board will be referred to the appropriate Board Committee prior to full discussion at a Board meeting, unless the Board determines otherwise.

Emergent matters may be raised by Board members in consultation with the Chair. Unless agreed to otherwise such items will normally be discussed at the closed session of the Board. Board members may raise policy items for discussion during a committee meeting.

- 3.17 At the end of each closed session of the Board, a question period limited to 10 minutes will be scheduled. A member of the Board may deliver a written question to the Secretary before any Board meeting addressed to either the President or the Vice-Presidents relating to issues within the Board's mandate. The intent and purpose of the Question Period is to provide information to Board members, and should not be generally used as an opportunity to solicit opinions, to pose highly speculative questions, or to request information which is readily available through other sources or deals with operational matters. Each question should be capable of standing on its own, and supplementary questions should only be posed during the Question Period once the respondent has replied to the original question.
- 3.18 Normally all matters coming to the Board from the University administration will be presented to the Board by the President. In exceptional circumstances other senior members of the University administration may approach the Chair to bring forward matters for consideration. At the discretion of the Chair, such matters may be added to an agenda.
- 3.19 With the consent of the Chair, staff members as designated by the President may be invited to attend meetings of the Board.
- 3.20 The Chair may invite individuals to attend meetings of the Board.
- 3.21 At the discretion of the Chair, a resolution may be voted upon by ballot conducted by ~~fax or~~ e-mail. In this case, to be adopted, a resolution must receive affirmative votes of at least a majority of those eligible to vote. A resolution adopted by this method will be deemed to have been passed at a validly constituted meeting of the Board and will be reported at its next scheduled meeting.

- 3.22 Under exceptional circumstances and only with the consent of the chair – and subject to logistical constraints – a board member may participate in a meeting by telephone, videoconference or other secure means of communication that enables him or her to communicate with other participants in the meeting simultaneously and instantaneously.

A member participating in a meeting by such means will be deemed to be present at the meeting.

#### **4. DUTIES**

- 4.1 Members of the Board of Governors must carry out their functions with integrity, independence, good faith, and prudence of a reasonable individual.
- 4.2 Each member of the Board has a duty with other Board members to act in the best interests of the University (See Section 19.1 University Act). Each member, no matter how he or she comes to be a member, has a responsibility only to the University. This is a public responsibility because the University is a public body. Any member, once appointed or elected, must function as a member of the Board and not as a spokesperson for a constituency.
- 4.3 The responsibilities of members of the Board of Governors are described in the Statement of the Responsibilities of the Board of Governors and its Members.
- 4.4 The Board may, upon a resolution passed by the vote of at least 2/3 majority of the members of the board, recommend that the Lieutenant Governor in Council remove a member of the Board from office for cause.

#### **5. CONFLICT OF INTEREST AND CONFIDENTIALITY**

- 5.1 The Board of Governors of the University has a variety of functions to perform under the University Act. The composition of this Board is complex, and it is possible that conflict of duty or interest may arise in the case of any member of the Board.

A conflict of interest arises when a Board member exercises an official power or performs an official duty or function and at the same time, knows that in the performance of this duty or function or in the exercise of power there is the opportunity to further a private interest. Further, there is an apparent conflict of interest when there is a reasonable perception that the Board member's ability to exercise an official power or perform an official duty or function will be or was affected by a private interest.

- 5.2 A Board member must make full disclosure of all real, potential and apparent conflicts of interest annually. If the Board member becomes aware during the year of a conflict of interest or an apparent conflict of interest, she or he must declare that conflict immediately in writing.
- 5.3 After disclosing the conflict, the Board member
- i) may seek the Chair's permission to address the matter briefly, before absenting himself or herself from the discussion and the vote;
  - ii) must not take part in the discussion of the matter or vote on any questions in respect of the matter. However, the member may be counted in the quorum present for the meeting;
  - iii) if the meeting is open, may remain in the room, but shall not take part in that portion of the meeting during which the matter giving rise to the conflict of interest is under discussion, and shall leave the room prior to any vote on the matter giving rise to the conflict;
  - iv) must, if the meeting is closed, leave the meeting and not return until all discussion and voting with respect to the matter giving rise to the conflict is completed;
  - v) must not attempt, in any way or at any time, to influence the discussion or the voting of the Board on any question relating to the matter giving rise to the conflict of interest.
- 5.4 With the exception of matters potentially affecting a Board member's terms of employment, voting on matters which will have an effect on a broad group (students, staff, faculty) by a member of that group is in general not a conflict of interest. For example, student members of the Board may vote on issues dealing with tuition fees. If a Board member is in doubt about whether he or she or another member of the Board is or may be in conflict of interest, the Board member should discuss the matter with the Chair. The Chair may rule a member to be in conflict of interest with an issue before the Board.
- 5.5 A Board member is expected to maintain the confidentiality of Board deliberations both in committee and during closed meetings and of documents considered in the closed meetings forever. Documents to be considered in the open session are released in conformity with paragraphs 3.7 and 3.8.
- 5.6 A Board member who breaches confidentiality or the Board's trust with regard to conflict of interest shall be subject to sanction by the Chair up to and including a request for the member's resignation. Other sanctions may include the member being excluded from the committee meetings and receiving Board documents in conformity with the public release of those documents for the remainder of the academic year.

- 5.7 The ruling of the Chair on a conflict of interest or breach of confidentiality may be appealed to the Board of Governors. A majority vote of the Board members can overturn the decision of the Chair.
- 5.8 Board members must annually sign a statement disclosing any real, potential or apparent conflicts of interest and acknowledging that they have read and understood the Board procedures on conflict of interest.

## **6. EXECUTIVE AND GOVERNANCE COMMITTEE**

- 6.1 The Executive and Governance Committee shall consist of the Chair of the Board as Chair, Vice-Chair, Chancellor, President, the Chairs of each of the standing committees of the Board, and one elected member appointed by the Board Chair.
- 6.2 The Executive and Governance Committee shall have such powers as given to it by the Board of Governors and shall report back to the Board on the action taken in the exercise of such powers.
- 6.3 The Executive and Governance Committee in consultation with the Compensation and Review Committee will consider and act upon recommendations regarding performance reviews, remuneration and terms of employment of the Vice-Presidents and the President of the University.
- 6.4 If matters arise between meetings which require Board attention, the Chair may call a meeting of the Executive and Governance Committee to deal with such matters. The Chair will then report to the Board at its next scheduled meeting. Normally, if such a meeting is called, members of the Board of Governors not on the Executive and Governance Committee shall be invited to attend if available, and shall receive the same materials as members of the Executive and Governance Committee.
- 6.5 The Executive and Governance Committee shall review the Procedures of the Board and the document on Responsibilities of the Board of Governors and its members prior to the first statutory meeting in the fall and bring them forward for approval.
- 6.6 The Executive and Governance Committee shall recommend to the Board an appropriate evaluation process for the Board and its committees, orientation process for new members, and undertake such other corporate governance initiatives as the Chair or Board deem desirable.
- 6.7 The Executive and Governance Committee shall review the needs assessment for potential governors, taking into consideration the Board's short-term needs and long-term plans and shall advise the President and Chair on the criteria for new governors and potential candidates for recommendation to the government.

- 6.8 The Committee makes recommendations to the Board of nominations for appointment to those external bodies where the appointments require the approval of the Board of Governors.
- 6.9 The Executive and Governance Committee considers and makes recommendations to the Board on matters related to the university's controlled entities.

## **7. FINANCE COMMITTEE**

- 7.1 This Committee is charged with consideration of all matters regarding finance at the University.
- 7.2 This Committee shall deal with matters pertaining to the final agreements on remuneration and terms of employment of faculty and staff within the University as related to budget; to fees for university activities as defined by Section 27(1) of the University Act; to approval of the budget framework; to amendments to the pension plans; to decisions regarding the use of University funds for major capital projects.
- 7.3 Motions resulting from deliberations of this Committee will be brought forward by the Chair to the Board for further consideration. The Committee shall consider which items on its agenda should be placed on the closed agenda and shall so inform the Secretary.

## **8. OPERATIONS AND FACILITIES COMMITTEE**

- 8.1 The Committee examines issues and policies which affect students and student services, excluding purely academic issues and policies; policies dealing with personnel (e.g. equity, evolution of faculty staffing), research administration, and administrative procedures, as well as planning.
- 8.2 This Committee will deal with decisions regarding new buildings including the program of requirements, the appointment of the prime consultant, the preliminary design, the working drawings and the tender when within the budget for the building. (Note: Approval of the Finance Committee is required for the use of University funds for major capital projects.)
- 8.3 This Committee considers for approval the appointment, reappointment, and removal of the following officers of the University upon the recommendation of the President: the Vice Presidents and University Secretary. The Committee shall receive annually reports on staffing that give an overview of all other appointments.

- 8.4 Motions and reports resulting from deliberations of this Committee will be brought forward by the Chair to the Board for further consideration. The Committee shall consider which items on its agenda should be placed on the closed agenda and shall so inform the Secretary.

## **9. AUDIT COMMITTEE**

### **9.1 Membership**

- 9.1.1 The members of the Audit Committee shall be independent, i.e., have no material direct or indirect association with the organization, which could be reasonably perceived to interfere with the exercise of the member's independent judgment.
- 9.1.2 The Committee shall consist of the Chair or Vice-Chair of the Board, at least three order-in-council members of the Board and other individuals as appointed by the Board; at least one member shall also serve on the Finance Committee.
- 9.1.3 The President, Vice-President Finance and Operations, Executive Director of Financial Services and the Director of Internal Audit shall normally be invited to attend Audit Committee meetings.
- 9.1.4 Financial literacy is a prerequisite for service on the Audit Committee. The majority of members of the Committee shall be capable of reading and understanding financial statements of the breadth and complexity of those of the university, and at least one member of the Committee shall have accounting or related financial management expertise. All committee members should possess an inquiring attitude, objectivity, independence and sound judgement.
- 9.1.5 Before appointing members to the Audit Committee under 2.2, the Chair of the Board will consult the Chair of the Committee concerning the performance of Committee members and the qualifications of potential new Committee members.

### **9.2 Mandate**

- 9.2.1 The Committee's primary responsibilities and authorities are to assist the Board oversight of:
- The integrity of the University's financial reporting process and system of internal controls regarding financial reporting and accounting compliance;
  - The qualifications and independence of the University's external auditors;

- The performance of the external auditors and the internal auditor;
- The University's compliance with legal, statutory and regulatory requirements;
- The university's enterprise risk management process;
- The procedures in place for the receipt, retention and treatment of complaints received by the University regarding accounting, internal accounting controls or audit matters; and
- The selection and hiring of the external auditors.

9.2.2 The Committee has the authority to conduct any investigation appropriate to fulfilling its responsibilities, and it has direct access to the internal and external auditors, as well as, the management of the University.

9.2.3 The Committee may request the Board of Governors to retain special legal, accounting, consulting or other experts the Committee deems necessary in the performance of its duties.

9.2.4 The Committee provides effective liaison between the Board of Governors, University management and the University's internal and external auditors in all matters dealing with the audit of the University's financial activities.

9.2.5 The Committee reviews any significant proposed changes in the position description of the University's chief financial officer, the Vice-President Finance and Operations.

### 9.3 Meetings

9.3.1 The Committee shall meet a minimum of 3 times a year, or more frequently as circumstances dictate. The Committee Chair shall prepare and/or approve an agenda in advance of each meeting. The Committee should meet privately in in camera session at least annually with management, the internal auditor, the external auditors, and as a committee to discuss any matters that the Committee believes should be discussed.

### 9.4 Responsibilities and Duties

#### **Review Procedures**

9.4.1 The Committee periodically reviews the effectiveness of the university's enterprise risk management process and annually reviews and provides feedback on the university's risk register. The results of these reviews are reported to the Board.



- 9.4.2 Annually, in consultation with the management and the external auditors, the Committee considers the integrity of the financial reporting processes and controls. It discusses significant financial risk exposures and the steps management has taken to monitor, control and report such exposures. It reviews significant findings prepared by the external auditors together with management's responses.
- 9.4.3 The Committee reviews and recommends to the Board the University's annual audited financial statements and related documents prior to filing or distribution. The review should include discussions with management and the external auditors of significant issues regarding accounting principles, practices, and significant management estimates and judgements.

#### **External Auditors**

- 9.4.4 The Committee reviews the independence and performance of the external auditors and recommends to the Board the appointment of the external auditors or approval of any discharge of auditors when circumstances warrant on a cycle approved by the Board.
- 9.4.5 On an annual basis, the Committee reviews and discusses with the external auditors all significant relationships they have with the University that could impair the auditors' independence. This review should include a review of non-audit services performed by the external auditors.
- 9.4.6 The Committee reviews the external auditors' audit plan—discusses and approves audit scope, staffing, locations, reliance upon management and internal audit, and general audit approach.
- 9.4.7 Prior to releasing the year-end financial statements, the Committee discusses the results of the audit with the external auditors. It also discusses certain matters required to be communicated to the Committee in accordance with the standards established by the Chartered Professional Accountants of Canada.
- 9.4.8 The Committee considers the external auditors' judgments about the quality and appropriateness of the accounting principles as applied in the financial reporting.
- 9.4.9 The Committee meets in in camera session with the external auditor.

#### **Internal Audit**

- 9.4.10 The Committee reviews the mandate and objectives of the internal audit function.

9.4.11 The Committee approves the appointment and reviews the compensation of the chief auditor within the parameters set for Excluded Management and Confidential Staff approved by the Board.

9.4.12 The Committee reviews the budget, staffing and resources of the Internal Audit function and makes recommendations to the Vice President Finance and Operations.

9.4.13 The Committee approves the internal auditor's audit plan for the year including audit scope, staffing, locations, timing and general audit approach.

9.4.14 The Committee reviews audit reports and discusses the results of the internal audit work plan.

9.4.15 The Committee meets in in camera session with the internal auditor.

#### **Legal Compliance**

9.4.16 On at least an annual basis, the Committee reviews with the University's legal counsel any legal matters that could have a significant impact on the financial statements, compliance with applicable laws and regulations, and inquiries received from regulators or governmental agencies.

#### **Other Audit Committee Responsibilities**

9.4.17 The members annually assess the effectiveness of the Committee, against its mandate and report the results of the assessment to Executive and Governance Committee of the Board.

9.4.18 The Committee ensures its members receive appropriate financial orientation and training to enhance financial literacy in order to carry out their oversight responsibilities.

The Committee performs any other activities consistent with this mandate, rules and regulations, and governing laws, as the Committee or the Board deems necessary or appropriate. It maintains summary records of meetings and periodically reports to the Board on significant results of the foregoing activities. It annually reviews its mandate and makes any recommendation for updating it to the Executive and Governance Committee of the Board.

### **10. COMPENSATION AND REVIEW COMMITTEE**

10.1 The Compensation and Review Committee deals with matters pertaining to performance reviews, remuneration and terms of employment of senior administrators (to be determined by the Committee) and matters relating to the mandates for negotiations and discussions with employee groups and unions.

- 10.2 Its members shall be independent of management, shall not be employees, and shall have knowledge and experience of human resource management.
- 10.3 The Committee shall consist of the Chair of the Board and four additional Order-in-Council members of the Board appointed by the Chair and shall be chaired by the Chair of the Board or designate.
- 10.4 This Committee makes recommendations to the Executive and Governance Committee or the Board of Governors, on matters of policy, on matters that require action by the Board of Governors, and on any other issues that the Chair determines should be reported to the Board of Governors.

## **11. APPOINTMENTS**

The Board delegates its authority to make appointments to the appropriate Vice-President or the President. This delegation includes the approval of new appointments of regular faculty within the approved budget and plan of the unit and according to the policies of the Board on terms of appointment including the faculty collective agreement; recommendations for reappointments, promotion, and tenure in accordance with the policies of the Board; and all academic and senior administrators except those listed in paragraphs 8.3 and 9.4.11.

## **12. ATTENDANCE AT COMMITTEE MEETINGS**

The Chair, the Vice-Chair, the Chancellor and the President serve in an ex-officio capacity on the following Board committees: Executive and Governance, Finance, and Operations and Facilities. Any member of the Board is welcome to attend, and may participate with the consent of the chair of the committee in a meeting of the following committees: Finance Committee, and Operations and Facilities Committee. Agendas of these committees will be distributed to all members of the Board.

## **13. APPEALS TO THE BOARD OF GOVERNORS**

In those instances under the University Act and University policies where an appeal to the Board is allowed, the appeal must be filed within 90 days of the date of receipt of the decision being appealed. Any panel or person appointed by the Board of Governors to hear the appeal shall determine its own procedures which must be in accordance with the principles of natural justice and administrative fairness.

If and when an appeal under Section 60(3) of the University Act comes to the Board of Governors, the President should, as a matter of course, withdraw from any such case that is being considered by the Board except in capacity as a witness.



## Statement of the Responsibilities of the Board of Governors and its Members

The Board of Governors of the University of Victoria is responsible, under the *University Act* (RSBC 1996, c. 468) for the management, administration and control of the property, revenue, business and affairs of the university. Its specific powers are set out in Section 27. Broadly speaking, its key functions – many of which are carried out in consultation with the University's Senate – include:

- Approving the university's mission and strategic plan.
- Approving and monitoring the execution of policy with respect to the goals expressed in the above.
- Appointing and supporting the president, approving his or her annual goals, and reviewing his or her performance.
- Establishing procedures for the appointment of senior academic administrators, faculty and staff and approving executive appointments.
- Approving, upon the recommendation of the Senate, the establishment of faculties, departments and academic programmes.
- Approving enrolment targets upon the recommendation of the Senate.
- Approving the budgets for operational and capital expenditure.
- Entering into collective and other agreements on behalf of the university.
- Maintaining the university's real property and other assets.
- Setting tuition and other fees.
- Ensuring that the university is well managed and accountable.
- Overseeing the university's compliance with legal, statutory and regulatory requirements.
- Interpreting the needs of society and the larger community to the university.
- Advocating for the university and protecting and defending its autonomy.

The Board of Governor's fifteen members are each responsible for contributing to its efforts to fulfill these functions in a manner that enables the University of Victoria to fulfill its mission and serve, to the fullest possible extent, current and future generations.

Section 19.1 of the University Act provides that "(t)he members of the board of a university must act in the best interests of the university." Whether appointed or elected, Board members must:

- Carry out their functions with integrity, independence, good faith and the prudence of a reasonable individual.
- Act, individually and collectively, in the best interests of the university as a whole. Each member, no matter how he or she comes to be a member, has a responsibility only to the university, and must give the university's best interests priority over personal or competing interests. This is a public responsibility because the university is a public body.

Any member, once appointed or elected, must function as a member of the Board and not as a spokesperson for a constituency.

- Appreciate the roles of universities in society, the particular mission of the University of Victoria, and the Senate's role in the governance of the latter.
- Distinguish between matters of policy (Board responsibility) and matters of administration (President's responsibility). (Matters of policy may be defined as: general rules or principles, or a statement of direction or intent, which provide guidance to the President and senior academic administrators in reaching decisions with respect to the particular matters entrusted to their care.)
- Hold the university accountable, while acting as ambassadors for it.

More specifically, individual members of the Board of Governors accept responsibility for:

### ***Preparation***

Board members should make every effort to understand the University, including the *University Act* and the Board's responsibilities and procedures, as well as to familiarize themselves with trends in governance and in post-secondary education. They should devote adequate time to preparation for Board meetings and deliberations.

### ***Attendance and participation***

Board members are expected to attend and participate in meetings of the Board and of the committees to which they are assigned by the Board Chair. Under the *University Act* (s. 22(2)), a member who does not attend at least half of the regular meetings of the Board in any year is deemed to have vacated his or her seat, unless excused by resolution of the Board. If a member is unable to attend a meeting, they should inform themselves of what occurred at the meeting.

Board members are expected to participate actively in meetings. Laptops and other electronic devices are to be used during meetings only for Board-related purposes.

### ***Exercise of due diligence***

Board members must act with integrity, independence and the good faith of a reasonable individual to promote the best interests of the university, bringing due care, diligence and competence to that task. (Due diligence is defined as: the duty of Board members to exercise such degree of skill and diligence as would amount to the reasonable care that an ordinary person might be expected to take in the circumstances on his or her own behalf.)

### ***Confidentiality***

Board members are expected to maintain the confidentiality of Board deliberations both in committee and during closed meetings and of documents considered in closed meetings forever. A Board member who breaches confidentiality shall be subject to sanction by the Chair up to and including a request for the member's resignation.

### ***Security***

In order to protect confidentiality, Board members are required to keep and dispose of confidential Board materials in a secure manner.

Board members must dispose of confidential paper records securely or return them to the University Secretary's Office for disposition. Likewise, members who keep Board records on computers, laptops or other electronic devices must keep these records secure. This involves measures such as using a complex password, taking steps to protect the physical security of the device, and ensuring that the records cannot be viewed by others when using the device in a public space. In order to minimize the risk of unauthorized access, Board members' copies of Board documents should be deleted after each meeting. Board members needing to review Board documents subsequent to meetings may access the official Board documents, which are held by the University Secretary's office.

If a computer, laptop or other electronic device containing confidential Board materials is lost or stolen, the Board member must inform Campus Security promptly.

Board members travelling across international borders should be aware that electronic devices may be subject to search.

### ***Ethics and Conflict of Interest***

Board members must act in the best interests of the university and must avoid putting themselves in a position of conflict of interest. Members must make full disclosure of all real, potential and apparent conflicts of interest annually. If a Board member becomes aware during the year of a conflict of interest or an apparent conflict of interest, he or she must declare that conflict of interest immediately in writing and must conduct him- or herself in accordance with the sections of the Board's Procedures on Conflict of Interest.

Board members must ***not***:

- assist any person or any organization in its dealings with the university, when such intervention may result in real, potential, or apparent preferential treatment to that person or organization by the university.
- use, for personal benefit or advantage, any information acquired in the exercise of their office that is not otherwise generally available to the public.
- use, directly or indirectly, any facilities or services of the University, nor allow them to be used, for purposes other than those expressly approved by the university.

If a Board member becomes aware of any unethical or illegal behaviour associated with the activities of the Board, he or she must report it to the Board Chair or Secretary.

***Communication***

Board members must recognize that the *only* spokesperson to the media for Board matters is the Chair of the Board of Governors or the Chair's express delegate.

The only spokesperson for the senior administration to the media on Board matters is the President or the President's express delegate.

Board members are expected to communicate promptly and clearly to the Chair of the Board and the President any significant concern or complaint and to let them deal with it. They should refer any request for information from a member of the university community to the Board Chair or the Board Secretary.

Once the Board takes a decision after a fair and objective hearing of different opinions on an issue before it, Board members are expected to stand united in that decision in public.

***Evaluation***

Board members are expected to set an example by assessing on a periodic basis the performance of the Board and their own performance as part of the governance process.

***Attestation and Signature***

I acknowledge that I have read and understood the responsibilities of the University of Victoria Board of Governors and its members.

Dated the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Signature: \_\_\_\_\_

Name (Please print): \_\_\_\_\_




University  
of Victoria

**SUBMISSION TO THE UVIC BOARD OF GOVERNORS**

**FOR DECISION**

September 14, 2020

**To:** Executive and Governance Committee

**From:** Carrie Andersen, University Secretary 

**cc:** President and Vice-Chancellor

**Meeting Date:** September 29, 2020

**Subject:** **Review and Approval of Board Governance Checklist**

**Basis for Jurisdiction:** University Act, s. 27

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**Recommendation:**

*THAT the Executive and Governance Committee recommend to the Board of Governors that the Board of Governors approve the posting of the updated board governance checklist, as circulated, on the university's website for 2020/21 as part of UVic's accountability framework.*



**Background:**

The Board Governance Checklist was first developed in 2005/06 and is posted on the university's website. Since then, the Executive and Governance Committee has reviewed the checklist annually in light of the results of the board evaluation. The committee revises it if and as appropriate and recommends it for reposting on the university's website as part of the university's accountability framework.

Attached is the version of the checklist that was reviewed by the Board of Governors in June 2019 and approved for posting. No changes to the Board Governance Checklist are proposed this year.

**Attachment(s):** Board Governance Checklist



University  
of Victoria

## UNIVERSITY OF VICTORIA BOARD GOVERNANCE CHECKLIST – DRAFT for 2020

The University of Victoria is governed by British Columbia's *University Act*. Recognizing that universities flourish best and serve society most effectively when they have strong academic direction and autonomy, *The Act* provides for bicameral governance. The Board of Governors is responsible for the University's management, administration and business affairs; the Senate, for its academic governance. This special governance model – long characteristic of universities in Canada and elsewhere – fosters the development of academic programs and research of high quality within the context of sound fiscal and administrative management.

The University of Victoria strives to achieve high standards in governance, as it does in its educational and research activities, its service to the community, and its management and business practices. Consistent with its commitment to account for its performance to government, students, donors, its community, other stakeholders and society at large, this sets out the Board governance practices to which the University has committed itself and by which its performance in this aspect of its governance should be measured.

The checklist comprises three elements:

- A. A list of practice guidelines (in italics). These include items from the *Orientation for B.C. Public Post-Secondary Institution Board Members* published by the Ministry of Advanced Education in June 2016 and the *Best Practice Guidelines* for public sector organizations issued in 2005 by British Columbia's Board Resourcing and Development Office. They also include several practices identified by the Association of Governing Boards (R.T. Ingram, *Effective Trusteeship: A Guide for Board Members of Public Colleges and Universities*, Association of Governing Boards, 2004) as integral to the effectiveness of public university boards, practices identified by the Office of the Auditor General of British Columbia in *Report 2: May 2012 – Crown Agency Governance* – and others to which we at the University of Victoria have committed ourselves, by virtue of our aspiration to lead amongst Canadian universities and to be a university of choice for outstanding students, faculty and staff from British Columbia, Canada and the world.
- B. A symbol next to each guideline indicates that: the University's existing practice is in alignment with the guideline (✓); action will be taken to bring the practice in question into alignment with the guideline (\*); or that: the University's practice differs from the guideline, for reasons which are explained (◇).

- C. A summary description of the existing practice (where it is in alignment with the guideline or deliberately varies from it) or of the steps being taken to improve upon the existing practice (where the latter should but does not yet fully meet the guideline).

## 1. Board Composition and Succession

- a) *“The Board identifies and recommends to government new candidates based on an understanding of the competencies required and the government selects candidates to fill the existing competency gaps.” (Source OAG of BC, Report 2:May 2012 – Report on Crown Agency Governance, p. 49)*

√ As outlined below, the Board of Governors makes recommendations to government based on an understanding of the competencies required and identifies individuals for recommendation whose appointment will equip the Board with the required skills and experience.

- b) *“The board is made up of individuals who, collectively, have the required competencies and personal attributes to carry out their responsibilities effectively.” (Source: BC BRDO, Best Practice Guidelines, p. 12)*

√ The Board of Governors is composed, consistent with the *University Act*, of 15 members: the chancellor; the president; 2 faculty members elected by the faculty members; 8 persons appointed by the Lieutenant Governor in Council, 2 from among persons nominated by the alumni association; 2 students elected by the students; and one person elected by and from the employees of the university who are not faculty members. Elections of the representatives of the faculty, students and staff are conducted in accordance with the Act and the university’s regulations. Appointments are made consistent with the Act and the Crown Agencies and Board Resourcing Office’s *Appointment Guidelines* for Governing Boards and other Public Sector Organizations. These election and appointment processes combine to provide the Board with the collective knowledge, competencies, experience and attributes it needs to govern the University effectively.

- c) *“Unless specified otherwise in the governing legislation, board members are independent from management and have no material interest in the organization.” (Source: BC BRDO, Best Practice Guidelines, p. 12)*

◇ As noted above, the *University Act*, by which the University of Victoria is governed, specifies that the membership of the board is to include the president and elected representatives of the faculty, students and staff.

Their presence and participation greatly enhances the knowledge and experience of university affairs – and the diversity of perspectives – on the Board, thereby contributing to its performance. Any potential conflict of interest arising from the presence of employees on the Board (which is a standard feature of Canadian university governance) is addressed by the University's *Statement of the Responsibilities of the Board of Governors and its Members*, and the Board's Procedures on Conflict of Interest. The latter provide that Board members must make full disclosure of all real, potential and apparent conflicts of interest (annually and as they emerge) and must not take part in discussions or votes on such matters.

- d) *"The board has a committee that develops director selection criteria and identifies and evaluates potential candidates."* (Source: BC BRDO, *Best Practice Guidelines*, p. 12)

✓ In accordance with the Board's Procedures, its Executive and Governance Committee "review[s] the needs assessment for potential governors, taking into consideration the Board's short-term needs and long-term plans and shall advise the President and Chair on the criteria for new governors and potential candidates for recommendation to the government".

- e) *"The board has a competency matrix that is updated annually and when vacancies arise. The competency matrix is used to identify competency "gaps" on the board and direct the search for new candidates."* (Source: BC BRDO, *Best Practice Guidelines*, p. 12)

✓ The Executive and Governance Committee has developed and uses such a matrix.

- f) *"The board has a board succession plan to recommend to Government the orderly turnover of directors."* (Source: BC BRDO, *Best Practice Guidelines*, p. 12)

✓ The competency matrix is regularly reviewed and updated, so that the Executive and Governance Committee can identify successors whose appointment will equip the Board with the skills and experience it needs.

- g) *"The board publishes the name, appointment term and a comprehensive biography of each director."* (Source: BC BRDO, *Best Practice Guidelines*, p. 12)

✓ This information is published annually in the University's newspaper, *The Ring*, and is available on the Board page of the University's web site.

## 2. Board Responsibilities

- a) *“The board publishes a charter that details its roles and responsibilities and the governance processes used to fulfill them.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 12)

√ The *University Act*, which sets out the Board’s powers, responsibilities and statutory requirements, is accessible through the Board page of the University’s web site. The Board’s Procedures are also published there.

- b) *The board and its members understand and appreciate the special roles of universities in society and the particular mission of the University of Victoria.*

√ The Board has a sound grasp of the roles of universities in general and of the mission of the University of Victoria, in particular.

- c) *The board understands and respects the role of the university senate in the governance of the university.*

√ The Board has a productive relationship with the University’s Senate. Its understanding of the University’s mission and academic governance -- and of developments in higher education at large -- is fostered by annual retreats conducted jointly with the Senate and by regular educational presentations. Information concerning the role and responsibilities of the Senate and academic governance at large has been included in orientation and other materials. Opportunities for Board members from outside the university to learn about ongoing learning, teaching, research and related creative and other activities are provided through visits to different parts of the campus, scheduled over the course of the year.

- d) *“The board understands and respects the academic culture and institutional norms.... It respects the chief executive and his or her office with regard to communication with the faculty and other internal constituencies.”* (Source: R. Ingram, *Effective Trusteeship*, Association of Governing Boards, Washington, D.C.: 2004, p. 55)

√ The Board respects the academic culture and entrusts communication with the faculty and other internal constituencies to the President and the Provost.

- e) *"The board has a good record of balancing its responsibility to hold the institution accountable with its responsibility to advocate for its needs in serving current and future generations." (Source: R. Ingram, Effective Trusteeship, Association of Governing Boards, Washington, D.C.: 2004, p. 58)*

✓ The Board has a strong record of ensuring that the University is accountable. Through its website, the University of Victoria makes available reports and data, which provide a public accounting of its accomplishments and progress in fulfilling its mission.

- f) *The board distinguishes between strategy and policy, on one hand, and management and administration, on the other. It does not involve itself in the day-to-day management of the institution.*

✓ The Board's Statement of the Responsibilities of the Board of Governors and its Members requires that matters of policy (Board responsibility) be distinguished from matters of administration (President's responsibility).

### 3. Board Meetings and Activities

- a) *"[The university's] chief executive and board leaders work hard to keep [board member] focused on long-term strategy, priorities, and goals. [The board uses] 'consent agendas' (groupings of required approvals on operational matters). Also, by emphasizing discussion over 'presentation', our board members are more engaged, more stimulated and motivated, more knowledgeable about the key issues, and more willing and able to serve as effective advocates." (Source: R. Ingram, Effective Trusteeship, Association of Governing Boards, Washington, D.C.: 2004, p. 58)*

✓ As noted above, the Board distinguishes between strategy and policy, on one hand, and management and administration, on the other. Consent agendas for Board meetings have long been used for efficiency. Consent agendas are used for committees, when appropriate. Board meetings are organized so as to provide opportunity for discussion. Opportunities to enlist Board members' knowledge and expertise in consideration of strategic issues facing the institution will continue in 2019/20.

- b) *The number, length and organization of Board meetings enable it to carry out its work effectively and efficiently.*

✓ The *University Act* calls for the Board to meet as often as is necessary to transact its business and at least once every three months. By tradition, the UVic Board meets six times per year.

Our most recent annual evaluation confirmed that the number, timing, length, agendas and conduct of Board meetings enable it to carry out its work effectively and efficiently. Continued attention will be devoted to structuring agendas and dockets so as to focus on key items while ensuring that all necessary business is completed.

#### 4. Committees

- a) *"The Board has committees that address the Finance, Governance, Human Resources and Compensation, and Audit functions, as well as any other committees relevant to board operations."* (Source: BC BRDO, *Best Practice Guidelines*, p. 15)

√ Since 2010/11, the Board has had the following committees: Executive and Governance Committee; Finance Committee; Operations and Facilities Committee; Audit Committee; Compensation and Review Committee.

- b) *"Each board committee has written terms of reference that are available publicly and that outline its composition and responsibilities."* (Source: BC BRDO, *Best Practice Guidelines*, p. 15)

√ The committees' terms of reference are contained in the Board's Procedures, which are published on the Board page of the University's web site.

- c) *"Each committee keeps informed about emerging best practices in corporate governance relevant to its functions."* (Source: BC BRDO, *Best Practice Guidelines*, p. 15)

√ Committees keep apprised of best practices in their areas. Pertinent articles and publications from sources such as the Association of Universities and Colleges of Canada, the Association of Governing Boards and *The Chronicle of Higher Education* will be circulated to Board members.

- d) *"Every board task force and working group established to address special board needs has written terms of reference outlining its composition, responsibilities, working procedures and termination date."* (Source: BC BRDO, *Best Practice Guidelines*, p. 15)

√ Such terms of reference are prepared when special task forces or groups are established.

## 5. Audit Committee

- a) *“Audit Committee members are financially literate and at least one member has accounting or related financial management expertise.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ The Audit Committee’s terms of reference state that, “The majority of members of the Committee shall be financially literate, being defined as having the ability to read and understand financial statements of the breadth and complexity comparable to those of the university and at least one member of the Committee shall have accounting or related financial management expertise. All committee members should possess an inquiring attitude, objectivity, independence and sound judgment”. The Committee’s membership accords with this standard.

- b) *“Members of the Audit Committee are independent from the external auditors.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ Members of the Audit Committee are independent from the external auditors.

- c) *“The Audit Committee has written terms of reference that set out its roles and responsibilities.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ The Audit Committee has written terms of reference, setting out its roles and responsibilities, which are published on the University’s web site.

- d) *“The Audit Committee annually reviews its terms of reference and assesses its effectiveness in meeting the needs of the board of directors.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ The Audit Committee’s terms of reference specify that it shall “annually review its mandate and make any recommendation for updating it to the Executive and Governance Committee of the Board”. The terms of reference also require that: (i) Committee members annually assess the effectiveness of the Committee against its mandate and report the results of the assessment to the Executive and Governance Committee of the Board. (This is done through the annual Board and Board committee evaluation process).

- e) *“The external auditor reports directly to the Audit Committee, not to management.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)



✓ The Audit Committee's terms of reference include the following:

- The Committee reviews the independence and performance of the external auditors and recommends to the Board the appointment of the external auditors or approval of any discharge of auditors when circumstances warrant on a cycle approved by the Board.
- On an annual basis, the Committee reviews and discusses with the external auditors all significant relationships they have with the University that could impair the auditors' independence. This review should include a review of non-audit services performed by the external auditors.
- The Committee reviews the external auditors' audit plan—discuss and approve audit scope, staffing, locations, reliance upon management and internal audit, and general audit approach.
- Prior to releasing the year-end financial statements, the committee discusses the results of the audit with the external auditors. It also discusses certain matters required to be communicated to the Committee in accordance with the standards established by the Canadian Institute of Chartered Accountants.
- The Committee considers the external auditors' judgments about the quality and appropriateness of the accounting principles as applied in the financial reporting.
- The Committee meets in executive session with the external auditor.

f) *"The Audit Committee has an auditor independence policy or reviews and pre-approves all non-audit services to be provided to the organization or its subsidiaries by the external auditor."* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ An auditor independence policy is in place.

g) *"The Audit Committee periodically reviews the need for an internal audit function."* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

✓ The University of Victoria has had an internal audit function since 1981.

h) *"If the organization has an internal audit function:*

i. *the internal audit group reports functionally to the Audit Committee and administratively to the Chief Executive Officer;"*

◇ The internal auditor reports to the Audit Committee and, for administrative purposes, to the Vice-President Finance and Operations. The reporting relationship to the Vice-President Finance and Operations was reviewed in the course of an external validation of the Internal Audit function conducted by KPMG in 2008 and was deemed to be appropriate.

ii) *“The Audit Committee oversees the work of the internal audit group.”*  
(Source: BC BRDO, *Best Practice Guidelines*, p. 20)

√ The Audit Committee’s terms of reference include the following:

- The Committee reviews the mandate and objectives of the internal audit function.
- The Committee approves the appointment and reviews the compensation of the chief auditor within the parameters set for Excluded Management and Confidential Staff approved by the Board.
- The Committee reviews the budget, staffing and resources of the Internal Audit function and makes recommendations to the Vice President Finance and Operations.
- The Committee reviews the internal auditor’s audit plan including discussion and approval of audit scope, staffing, locations, timing and general audit approach.
- The Committee reviews audit reports and discusses the results of the internal audit work plan.
- The Committee meets in executive session with the internal auditor.

i) *“The Audit Committee meets from time to time with the external and internal auditors without management present.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

√ The Audit Committee holds *in camera* sessions with the internal auditor and with the external auditors at each meeting.

j) *“The Audit committee reviews any proposed changes to the position of the organization’s chief financial officer.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

√ The Audit Committee’s terms of reference provide for it to “review any significant proposed changes in the position description of the university’s chief financial officer, the Vice-President Finance and Operations.”

- k) *"The Audit Committee has the authority to engage independent counsel and other advisors, with prior approval from the board chair."* (Source: BC BRDO, *Best Practice Guidelines*, p. 20)

√ The Audit Committee's terms of reference give it "authority to conduct any investigation appropriate to fulfilling its responsibilities" and provide that it "may request the Board of Governors to retain special legal, accounting, consulting or other experts the Committee deems necessary in the performance of its duties".

## 6. The Board Chair

- a) *"The position of chair and CEO are separate."* (Source: BC BRDO, *Best Practice Guidelines*, p. 22)

√ The position of Board Chair and University President are separate.

- b) *"The board chooses its own chair on the basis of merit and leadership abilities; neither the govern[ment] nor anyone else does so, either directly or indirectly. Moreover, [the board's] bylaws do not require [ ] that the incumbent vice chair of the board will succeed the incumbent chair...The board [has] flexibility and responsibility to choose its own leaders."* (Source: R. Ingram, *Effective Trusteeship*, Association of Governing Boards, Washington, D.C.: 2004, p. 54)

√ The Board elects its own Chair annually. Section 19.2(1) of the *University Act* requires that the Chair be elected from among the 8 members of the Board appointed by the Lieutenant Governor in Council under section 19(1) (d).

- c) *"The board publishes a position description that sets out in detail the responsibilities of the chair."* (Source: BC BRDO, *Best Practice Guidelines*, p. 22)

√ The role and responsibilities of the Board Chair are set forth in the Board's Procedures, which are published on the Board page of the University's web site. A detailed Board Chair Position Description has also been developed.

- d) *"The chair and responsible Minister communicate regularly to build their working relationship."* (Source: BC BRDO, *Best Practice Guidelines*, p. 22)

◇ The University's Board Chair communicates and meets with the Minister as needed, as well as welcoming and introducing him or her at events on campus.

- e) *"The Board Chair provides leadership to ensure the Board can effectively govern a post-secondary institution. The Board Chair guides Board activities, and works closely with the President to cultivate an effective relationship between the Board and institution management."* (Source: *Orientation Manual for BC Public PSE Board Members*, p.6)

√ This expectation is set out in the Board Chair Position Description and fulfillment assessed and confirmed through an annual Chair evaluation process.

## **7. Individual Directors**

- a) *"The board publishes a charter or similar document for directors that details the expectations of individual board members."* (Source: BC BRDO, *Best Practice Guidelines*, p. 24)

√ The Board has approved a *Statement of the Responsibilities of the Board of Governors and its Members*.

- a) *"In carrying out their Board duties, members must consider their:*
- *Fiduciary duty to act in the best interest of the organization.*
  - *Requirement to represent the interests of the institution as a whole, rather than the interests of individual constituents.*
  - *Commitment to maintaining high ethical standards and integrity in decision-making.*
  - *Commitment to respectful communication and interaction with other Board members and institution management.*
  - *Compliance with the Code of Conduct for the institution....*
  - *Commitment to effective governance"*

(Source: *Orientation Manual for BC Public PSE Board Members*, p.7)

√ These expectations are reflected in the *Statement of the Responsibilities of the Board of Governors and its Members*.

- b) *"The board develops and publishes minimum attendance expectations for directors and makes public the directors' attendance records."* (Source: BC BRDO, *Best Practice Guidelines*, p. 24)

◇ Under the *University Act*, s. 22(2), a member who does not attend at least half of the regular meetings of the board in any year is deemed to have vacated his or her seat, unless excused by a resolution of the Board.

- d) *“As part of public sector transparency, the organization annually discloses the amount of compensation paid to each individual director for the preceding year.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 24)

◇ Consistent with practice at other major Canadian universities, members of the Board are not compensated for their service. (Reimbursement is provided for expenses incurred in attending Board meetings.)

- e) *“Board members must abide by individual Board policies about who will be the spokesperson for the Board. Boards should speak with one voice. Once debate in the boardroom is over and a decision is made, that decision stands as a united position of the Board. It is very important that Board members respect issues of confidentiality and not disclose information they learn at Board meetings which has been imparted in confidence.”*

(Source: *Orientation Manual for BC Public PSE Board Members*, p.7)

√ These expectations are reflected in the *Statement of the Responsibilities of the Board of Governors and its Members*.

## 8. The Chief Executive Officer or President

- a) *“The board has a job description that sets out in detail the responsibilities of the CEO.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 26)

√ There is a detailed position description for the President.

- b) *“The board annually establishes performance expectations for the CEO.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 26)

√ The Procedures for the Annual Review of the President provide for the establishment of annual goals. The report of an examination of university board governance in British Columbia conducted by the Office of the Auditor General in 2013, in which the University of Victoria was included, stated that:

We found that the [UVic] Board approves the President’s goals on an annual basis.

Subsequent to this, the Board, through its Compensation and Review Committee, performs a mid-year and end-of-year review of the President's performance before submitting a final report to the Board.

Establishing and agreeing to annual goals and evaluating the President's performance are important practices. They support the President's motivation and development, as well as the performance of the university in achieving its strategic goals. For universities, this accountability mechanism is particularly important given that the President is a voting board member under the Act as well as the Board's one employee. The evaluation helps ensure proper separation between the Board and management. (Source: BC OAG, University Board Governance Examinations, February 2014, p. 27, [www.bcauditor.com](http://www.bcauditor.com))

- c) *"The board annually assesses the CEO's performance against the position description and the performance expectations."* (Source: BC BRDO, *Best Practice Guidelines*, p. 26)

√ In accordance with the Procedures for the Annual Review of the President, the Board Chair and the Compensation and Review Committee review the President's accomplishments relative to six general criteria and to the prior year's goals. In the process, input is sought from all Board members.

- d) *The "Board[ is]responsible for setting and disclosing appropriate compensation for Presidents and senior executives at the institution within the parameters of the compensation framework set by Government."*

√ The Board of Governors sets compensation in accordance with the approved Executive Compensation Plan and the framework established by government and posts an executive compensation disclosure report annually.

- e) *"The directors regularly meet together without management present."*  
(Source: BC BRDO, *Best Practice Guidelines*, p. 26)

◇ As noted above, in accordance with the *University Act*, by which the University of Victoria is governed, the President is a member of the Board of Governors. This provision, typical of universities and necessary for their effective governance, would render meetings without management inappropriate. (The President of course absents them self from any Board or committee meeting dealing with their appointment, review or terms of employment.)

## 9. Corporate Secretary

- a) *“The board has a position description that sets out in detail the responsibilities of the corporate secretary.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 27)

√ There is a detailed position description for the University Secretary.

## 10. Code of Conduct and Ethics

- a) *“The board has adopted a Code of Conduct and Ethics that is consistent with The Standards of Ethical Conduct for Public Sector Organizations.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 28)
- b) *“The organization publishes its Code of Conduct and Ethics.”* (Source: BC BRDO, *Best Practice Guidelines*, p. 28)

√ The Board’s Procedures include sections on Duties, Conflict of Interest and Confidentiality. They specify that “Board members must annually sign a statement disclosing any real or apparent conflicts of interest and acknowledging that they have read and understood the Board procedures on conflict of interest”. The *Statement of the Responsibilities of the Board of Governors and its Members* also outlines expectations with respect to ethics.

## 11. Orientation and Professional Development

- a) *The board has a comprehensive orientation program for new directors.* (Source: BC BRDO, *Best Practice Guidelines*, p. 30)
- √ New board members receive extensive briefing materials and a thorough in-person orientation.
- b) *The board has a culture that encourages new directors to participate fully and effectively in board activities as soon as possible.* (Source: BC BRDO, *Best Practice Guidelines*, p. 30)
- √ New Board members are encouraged and expected to participate fully as soon as possible.
- c) *The board provides ongoing educational opportunities for directors to learn about the organization, its sector and its corporate governance practices, and maintains a policy encouraging directors to take advantage of these opportunities.* (Source: BC BRDO, *Best Practice Guidelines*, p. 30)

√ Ongoing educational opportunities include: visits to academic and other units and/or other opportunities to interact with members of the campus community; presentations to the Board concerning major initiatives at the university; an annual one-day retreat, held jointly with the Senate, on an issue of strategic importance to the university; participation by Board officers in meetings of the Canadian University Boards Association; and subscription to electronic university news services.

## **12. Board, Committee and Director Assessment**

- a) *The board annually assesses its performance and the performance of each of its committees against their respective charters or terms of reference. (Source: BC BRDO, Best Practice Guidelines, p. 32)*
- b) *The board annually assesses the performance of the chair against the chair's position description. (Source: BC BRDO, Best Practice Guidelines, p. 32)*
- c) *The board annually assesses the performance of individual directors against the directors' Charter of Expectations. (Source: BC BRDO, Best Practice Guidelines, p. 32)*

√ In 2005/06, mechanisms were put in place for annual assessment of Board and Board committee procedures and practices and of the effectiveness of the Chair. Annual Board member self-assessment is also practiced. The report of the examination of university board governance in BC conducted by the Office of the Auditor General in 2013 stated that:

We found that the [UVic] Board has a strong evaluation process covering key areas such as board effectiveness, committee effectiveness, roles and responsibilities of the Board and management, as well as several other areas pertaining to board operations. The evaluation process also included individual member self-assessments covering areas pertaining to the member's understanding of the organization, his/her governance role and contributions to the Board, as well as several other important areas. Regular evaluations support the continued growth and effectiveness of the Board. (Source: BC OAG, University Board Governance Examinations, February 2014, p. 28, [www.bcauditor.com](http://www.bcauditor.com))



### 13. Communications Strategy

- a) *An appropriate communication strategy is in place that meets the needs of all stakeholders, employees and Government and reflects a public sector organization's requirement for transparency and accountability. (Source: BC BRDO, Best Practice Guidelines, p. 32)*

✓ Appropriate mechanisms are in place for communicating Board decisions and for obtaining input into those decisions. Additional steps to communicate the composition, role and activities of the Board took place in 2015/16 and continue.

- b) *The board chair is the authorized spokesperson for the board and the CEO is the primary spokesperson for the organization. (Source: BC BRDO, Best Practice Guidelines, p. 32)*

✓ The only person authorized to speak for the Board is the Chair or his or her express delegate. The President is the primary spokesperson for the organization.

### 14. Review and Approval of Institutional Accountability Report

- a) *The Board fulfills its oversight responsibility for UVic's accountability reporting. (Source: BC OAG, University Board Governance Examinations, February 2014, p. 28, [www.bcauditor.com](http://www.bcauditor.com))*

✓ The Board reviews and approves the institutional accountability plan annually.

### 15. Oversight of Risk Management

- a) *The Board oversees a risk management framework. (Source: BC OAG, University Board Governance Examinations, February 2014, p. 28, [www.bcauditor.com](http://www.bcauditor.com))*

✓ The report of the examination of university board governance in BC conducted by the Office of the Auditor General in 2013 stated that:

We found that the Board oversees management's progress in identifying, ranking, and preparing mitigation strategies for risks. Risks are presented to the relevant board committee and eventually to the audit committee and the Board as a whole.

Risk management is an important control supporting the achievement of UVic's objectives. (Source: BC OAG, University Board Governance Examinations, February 2014, p. 27, [www.bcauditor.com](http://www.bcauditor.com))

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