RISK MANAGEMENT SERVICES
REFERRAL PROTOCOL FOR LEGAL SERVICES

June 1, 2013

1. Risk Management Services (RMS) and the Office of University Counsel (OUC) have developed this protocol to direct and manage requests for legal services from RMS to the OUC. This process provides RMS with a single point of contact in the OUC and also ensures that the OUC is able to deal with a manageable number of “clients” within RMS. This will also facilitate the development of higher levels of knowledge and understanding as between the OUC and RMS, improving efficiency and service levels. An added benefit of this approach is that it will reduce redundancy and promote operational consistency within RMS and assist the OUC in taking a consistent approach when providing assistance to RMS.

2. The primary contact in the OUC for RMS is Kimberley Beck, Legal Counsel. Ms. Beck will involve other lawyers in the OUC as necessary.

3. The primary contact in RMS for OUC is the Chief Risk Officer for UBC (Ron Holton).

4. Where a member of RMS believes that they need legal advice or assistance, they should first approach the Chief Risk Officer to discuss the issue. The presumption is that if a matter is important enough to require involvement of the OUC, it is important enough that the Chief Risk Officer is aware of it as well.

5. The Chief Risk Officer may be able to draw on his knowledge and experience to provide the member with direction and avoid the need to approach the OUC at all. If the Chief Risk Officer determines that legal advice is required, the Chief Risk Officer will refer the matter to the OUC. The initial point of contact in the OUC will normally be Kimberley Beck.

6. Once the OUC has been engaged on a matter, it may make sense for the OUC to speak directly with members of RMS closer to the problem or who have relevant information about the issue. In these circumstances the Chief Risk Officer should generally be copied on communications so that he remains aware of the status of the matter and can provide meaningful instructions if required.

7. Where any person within RMS contacts a lawyer in the OUC other than Kimberley Beck, that lawyer should generally refer the matter back to Ms. Beck, unless previously agreed that it would be more appropriate for another lawyer to take carriage of the file. In circumstances in which Ms. Beck is unavailable and the matter is time sensitive, it may be necessary for the lawyer with whom the initial contact was made to take carriage of the file. In such cases, that lawyer must ensure that Ms. Beck is briefed on the matter at the earliest possible opportunity so as to avoid duplication of effort.

8. The Chief Risk Officer and Ms. Beck will meet quarterly or as needed to discuss ongoing legal matters and priorities for RMS.

Hubert Lai, University Counsel

Ron Holton, Chief Risk Officer