

Comptroller's Office

REFERRAL PROTOCOL FOR LEGAL SERVICES

January 9, 2023

Introduction

The Comptroller's Office ("**Comptroller's Office**") and the Office of University Counsel ("**OUC**") have developed this protocol to direct and manage requests for legal services from the Comptroller's Office to OUC (the "**Protocol**"). This Protocol aims to improve the quality of services received by the Comptroller's Office from OUC by strengthening continuity of services, facilitating the development of higher levels of knowledge and understanding between OUC and the Comptroller's Office.

General Principles

This Protocol was established to:

- provide the Comptroller's Office with a single point of contact within OUC who is a subject-matter expert in areas relevant to the Comptroller's Office and who is aware of all matters being handled by OUC for the Comptroller's Office; this will enable the Comptroller's Office to receive coordinated and consistent services from OUC;
- set out a communication plan between the Comptroller's Office and OUC regarding ongoing matters handled by OUC in connection with the Comptroller's Office;
- allow the Comptroller's Office to prioritize legal services it is receiving from OUC in accordance with its needs;
- develop a reciprocal understanding between the Comptroller's Office and OUC about their respective operations in order to ensure that efficient services are provided to the Comptroller's Office and that scarce institutional resources are used effectively and efficiently; and
- create processes within the Comptroller's Office to vet and potentially resolve legal matters before they are escalated to OUC, allowing the Comptroller's Office to build on previous knowledge acquired through its work with OUC and ultimately better empowering the Comptroller's Office to manage its own affairs.

The Protocol

1. the Comptroller's Office' primary contact in OUC is Karen Choi (the "**Contact Lawyer**"). The Contact Lawyer's email is karen.choi@ubc.ca and her telephone number is 604-822-4306.
2. OUC's primary contact in the Comptroller's Office are:
 1. Interim Comptroller: *Matt Boydston*
 2. Assistant Comptroller: *Matt Boydston*
 3. Capital Financial Management Lead: *Sarah Lee*
 4. Financial Planning & Analysis Lead: *Joan Mar*
 5. Financial Reporting Lead: *Cheryl Berge*
 6. VPFO/VPHR Finance Lead: *Carolyn Rhee-Thompson*

(each a "**Comptroller's Office Contact**", and together the "**Comptroller's Office Contacts**").

3. In order to ensure that the leadership within the Comptroller's Office is aware of all matters that require the involvement of OUC, where a member of the Comptroller's Office (the "**Member**") believes that the

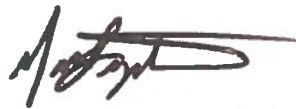
Member needs legal advice or assistance, the Member should first approach the relevant the Comptroller's Office Contact to discuss the matter.

4. Finance Offices for Administrative Units and Finance Officers for Faculties are Members for the purposes of this Protocol.
5. The Comptroller's Office Contact should draw on the Comptroller's Office' existing knowledge, experience, and understanding of previous advice from OUC to provide the Member with direction as appropriate.
6. If the Comptroller's Office Contact determines that the matter should be referred to OUC, the Comptroller's Office Contact will refer the matter to the Contact Lawyer.
7. The Comptroller's Office will establish these internal communication and escalation processes with the goal of ensuring that the leadership within the Comptroller's Office maintains visibility in respect of the legal matters being handled by OUC for the Comptroller's Office.
8. After the Comptroller's Office Contact has engaged OUC on a matter, the Contact Lawyer and the Comptroller's Office Contact will decide on the appropriate communications channels, which may include the relevant Member engaging directly with the Contact Lawyer. To ensure that the Comptroller's Office Contact remains engaged in the matter and can provide additional instructions, the Comptroller's Office Contact will remain involved in the communications and be copied on all electronic messages, even if the communication with the Contact Lawyer is primarily through the Member.
9. If the Comptroller's Office Contact contacts a lawyer in OUC other than the Contact Lawyer, that lawyer will refer the matter to the Contact Lawyer.
10. The Contact Lawyer (or, if the Contact Lawyer is unavailable, the University Counsel) may decide that it is more appropriate for another lawyer to take carriage of the file. For example, the Contact Lawyer could be unavailable or the matter could be time-sensitive or require particular expertise. In such cases, the lawyer who takes carriage of the file will brief the Contact Lawyer on the matter on an ongoing basis so that a single point of contact remains accountable for the legal services being provided to the Comptroller's Office.
11. If someone from the Comptroller's Office other than the Comptroller's Office Contact engages the Contact Lawyer or any other member of OUC, the Contact Lawyer or other OUC member, as applicable, will refer such person to this Protocol.
12. The Contact Lawyer and the Comptroller's Office Contacts will meet quarterly or as needed to discuss ongoing legal matters handled by OUC for the Comptroller's Office, the Comptroller's Office' priorities, and other matters that may require the assistance of OUC.



Hubert Lai, K.C., University Counsel

Date: January 19, 2023



Matthew Boydston, Interim Comptroller

Date: January 9, 2023