

Sauder School of Business

REFERRAL PROTOCOL FOR LEGAL SERVICES

December 7, 2022

Introduction

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

General Principles

This Protocol was established to:

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

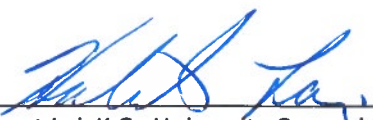
The Protocol

1. Sauder’s 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 contacts in Sauder are:
 1. Dean; *Darren Dahl*
 2. Senior Associate Dean, Partnerships and Community Outreach; *Murray Carlson*
 3. Senior Associate Dean, Faculty; *JoAndrea (Joey) Hoegg*
 4. Senior Associate Dean, Research Academic Director, Robert H. Lee Graduate School; *Mahesh Nagarajan*
 5. Senior Associate Dean, Students; *Elicia Salzberg*
 6. Senior Associate Dean, Equity, Diversity and Inclusion and Sustainability; *Katherine White*
 7. Senior Advisor to the Dean; *Teresa Pan*
 8. Associate Dean, *Bruce Wiesner*
 9. Executive Director, CDL and Innovation Strategy; *Darrell Kopke*

10. Assistant Dean and Director, Finance; *Sandy Tanaka*

(each a “Sauder Contact”, and together the “Sauder Contacts”).

3. In order to ensure that the leadership within Sauder is aware of all matters that require the involvement of OUC, where a member of Sauder (the “Member”) believes that the Member needs legal advice or assistance, the Member should first approach the relevant Sauder Contact to discuss the matter.
4. The Sauder Contact should draw on the Sauder Contact’s knowledge, experience, and understanding of previous advice from OUC to provide the Member with direction as appropriate.
5. If the Sauder Contact determines that the matter should be referred to OUC, the Sauder Contact will refer the matter to the Contact Lawyer.
6. Sauder will establish these internal communication and escalation processes with the goal of ensuring that the leadership within Sauder maintains visibility in respect of the legal matters being handled by OUC for Sauder.
7. After the Sauder Contact has engaged OUC on a matter, the Contact Lawyer and the Sauder Contact will decide on the appropriate communications channels, which may include the relevant Member engaging directly with the Contact Lawyer. To ensure that the Sauder Contact remains engaged in the matter and can provide additional instructions, the Sauder 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.
8. If the Sauder Contact contacts a lawyer in OUC other than the Contact Lawyer, that lawyer will refer the matter to the Contact Lawyer.
9. 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 Sauder.
10. If someone from Sauder other than the Sauder Contact contacts 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.
11. The Contact Lawyer and the Sauder Contacts will meet quarterly or as needed to discuss ongoing legal matters handled by OUC for Sauder, Sauder’s priorities, and other matters that may require the assistance of OUC.



Hubert Lai, K.C., University Counsel



Darren Dahl, Dean, Sauder School of Business