



## REPORT TO THE BOARD OF GOVERNORS

**SUBJECT** AMENDMENTS TO POLICY #47 (CHAIRS AND PROFESSORSHIPS FUNDED BY EXTERNAL FUNDS) AND THE ASSOCIATED PROCEDURES

**MEETING DATE** APRIL 14, 2014

Forwarded to the Board of Governors on the Recommendation of the President

**APPROVED FOR SUBMISSION**

**David H. Farrar**  
Acting President and Vice-Chancellor

**Presented By** Hubert Lai, Q.C., University Counsel  
David Farrar, Provost & Vice-President Academic  
Cynthia Mathieson, Provost and Vice-Principal Academic, Okanagan

**Report Date** March 6, 2014

**DECISION REQUESTED** **IT IS HEREBY REQUESTED** that *the UBC Board of Governors approve the proposed amendments to Policy #47 (Chairs and Professorships Funded by External Funds) which will now be named “Chair, Professorship, and Distinguished Scholar Honorifics”, effective April 14, 2014.*

### EXECUTIVE SUMMARY

The Policy was written in 1987 and last reviewed and lightly revised in 2007. The purpose of the proposed amendments is to ensure the Policy supports the University’s goal of encouraging the creation of prestigious chairs, professorships and distinguished scholar honorifics (collectively “**Honorifics**”) funded by endowments or other funds in accordance with the following principles:

1. Honorifics should be conferred by UBC upon faculty members (the “**Holders**”) to reward excellence in research and teaching.
2. Conferral of an Honorific should normally be accompanied by financial resources for research and teaching support and honoraria to enhance their capacity to do world class research and teaching, and in some cases the funds may be used for salary and benefits.
3. Holders of Honorifics should provide regular reports to UBC on their activities, and UBC should share the impact of Honorifics with the donors who have enabled the establishment of Honorifics and with the broader community.

The proposed amendments meet these stated aims by setting out the academic, financial and accountability criteria for Honorifics. The proposed amendments to the Policy have been developed by a Policy Review Committee under the oversight of the Office of the University Counsel. The policy creates no legal or governmental liabilities. Approval of the Policy is within the statutory powers of the Board of Governors and no governmental approvals are required.

<b>Place and Promise COMMITMENT(s)</b>	The proposed amendments to the Policy support the Sustainability commitment.
<b>Place and Promise ACTION(s)</b>	<p>In support of the commitment to economic sustainability, the Policy Review Committee’s recommendations are intended to:</p> <ol style="list-style-type: none"> <li>1. support the University’s goal of encouraging the creation of prestigious chairs, professorships and distinguished scholar Honorifics; and</li> <li>2. establish criteria for ensuring funding for Honorifics meet the above goal.</li> </ol>
<b>Description &amp; Rationale</b>	<p>The Policy was first approved in 1987 and was revised in 2007 to give the Dean authority to require reports from Holders, and to give the Responsible Executive authority to review Holders’ activities. In 2008, the Provost’s Office and the Faculty of Medicine requested a review of the current Policy to address a systemic funding shortfall created by the Policy.</p> <p>Currently, the Policy governs the creation of chairs and professorships funded by external funds, which may be either by way of endowment or term funding for a minimum of five years. These are honorifics awarded to prominent faculty members to recognize their academic accomplishments, and are separate and apart from Faculty appointments.</p> <p>Over time, the University has realized that the existing Policy has not met its stated policy goal of rewarding academic accomplishments of faculty members because the University has relied heavily on using the funding for salary. This has created three challenges:</p> <ol style="list-style-type: none"> <li>1. Salary increases quickly outpace endowment growth (endowments are meant to be recapitalized at the rate of the consumer price index (“CPI”), and salaries grow faster); therefore, full funding of salary for chairs is not realistic.</li> <li>2. In addition, while Honorifics should be an incentive to excel, using the funding for salary has meant that holders have not received much, if any, benefit other than the honorific title.</li> <li>3. Finally, using endowments for salary has meant that faculties have little if any flexibility to remove an honorific from an existing holder and award it to another deserved recipient.</li> </ol> <p>The same issues have arisen for professorships, because they have often been used solely for salary.</p> <p>The proposed amendments to Policy #47 are recommended by the Policy Review Committee:</p> <ol style="list-style-type: none"> <li>1. Eligibility: The amended Policy applies to UBC faculty members and also to individuals who have an appointment to UBC under Policy #42 (the “<b>Eligible Individuals</b>”). Eligible Individuals must meet the additional eligibility requirements in the Policy.</li> </ol>

2. Financial Components: To reduce the reliance on the use of Honorific funds for salary and to meet the policy goal of ensuring Honorifics are a reward for excellence, the amended Policy and its Procedures provides that funds are to be used to support research, teaching and educational leadership activities. To provide additional flexibility to the University, they may also be used for salary support where a financial sustainability plan has been approved by the Provost, but this is not the preference. Honorific funds will not attract an overhead charge by the University unless this is expressly permitted by a funding arrangement.

3. New Honorific category: The Policy recognizes a new category of Honorific, called a “Distinguished Scholar” which is available to Eligible Individuals who have achieved distinction in their field of endeavour. This is intended to provide greater flexibility to Faculties that may have difficulty raising sufficient funds for a Chair or Professorship, but still wish to be able to recognize academics who have made a difference in their field. This creates a new opportunity for donors to support academic excellence. Funding for Distinguished Scholars is normally smaller and for a shorter term than for Chairs and Professorships.

4. Academic Components: The amended Policy introduces a naming convention which normally includes “UBC” in the name of the Honorific. It also introduces the language of “conferral” of Honorifics to ensure it is understood that these are separate and apart from academic appointments of individuals and are conferred based on merit. It also confirms that the decision to recognize an Eligible Individual with an Honorific title is made by the Provost upon the recommendation of the Dean. To assist the Dean in making his or her recommendation, the Dean will convene a committee, and may advertise. In addition, the Policy clarifies that while an Honorific may not be tied to an individual, it may be tied to a position, such as a Dean or Department Head.

5. Accountability Components: The amended Policy and its Procedures expand upon the assessment and accountability requirements to clarify that the Holder is required to establish specific objectives to be undertaken under the purview of the Honorific, and that the Holder is accountable for meeting those objectives. Accountability comes in the form of annual reports, and a review prior to a decision being made by the Responsible Executive to renew the Honorific. The Responsible Executive also has the authority to remove an Honorific from a Holder. Where a Holder is not renewed or is removed, the Holder has an opportunity to make submissions to the Responsible Executive. The Responsible Executive’s decision is final.

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**FINANCIAL** Funding Sources, Impact on Debt Ratios . The proposed amendments to the Policy will mean that new Honorifics will normally be supported by a combination of University funding (to support salary) and external funding to provide research and other support, thereby meeting the policy objective of rewarding excellence for accomplished faculty members. Since the preference is now that endowments not be relied upon to backfill salary, Faculties will need to identify other sources of funds for new faculty positions. This resolves the structural funding problem that has existed under the current Policy, whereby salaries increase

at a rate greater than CPI, and endowments are meant to grow at the rate of CPI. Where Honorific funding is used to support salary, the Faculties will need to submit a financial sustainability plan to the Responsible Executive to ensure that their funding plan is sustainable for the long term.

**SCHEDULE** The amended proposal for Policy #47 is submitted for approval of the Board of  
 Implementatio  
 n Timeline Governors. It is unanimously recommended by the Policy #47 Review Committee.  
 If the amended Policy proposal is approved by the Board of Governors:

1. The Office of the University Counsel will:
  - publish the amended Policy #47 on the University’s website.
2. The Offices of the Provost in Vancouver and the Okanagan will:
  - create guidelines establishing the minimum amounts of funding required by faculties,
  - create guidelines to assist conferral and accountability processes; and
  - maintain a listing of all chairs and professorships at UBC.

**CONSULTATION** The Office of the University Counsel worked with the former Deputy Provost (UBC  
 Relevant Units, Vancouver), George Mackie, and the Faculty of Medicine to create a framework for  
 Internal & External policy change. The Provost and Vice-President Academic (UBC Vancouver), David  
 Constituencies Farrar, and former Provost and Deputy Vice Chancellor (UBC Okanagan), Wes Pue, reviewed the framework and presented it to the Deans of both Vancouver and Okanagan campuses. The Provosts and Deans approved the framework. Then a policy review committee was created to undertake a comprehensive review of the Policy. The Policy Review Committee is comprised of the following members:

- Elizabeth Moxham, Legal Counsel, Office of the University Counsel (Chair)
- Anna Kindler, Vice Provost & Associate Vice President Academic (the Provost and Vice-President, Academic’s representative (Vancouver))
- John Klironomos, Professor & Associate Dean of Research, Barber School, UBC Okanagan (the Provost and Vice Principal, Academic’s representative (Okanagan))
- Victoria Auston, Assistant Dean, Development & Alumni Engagement, Arts
- Rebekkah Coburn, Faculty Relations Advisor, Faculty Relations
- Yousry El-Kassaby, Department Head, Forest Resources Management, Forestry
- Hillary Gosselin, Executive Director, Constituency Based Fundraising
- Shanda Jordan Gaetz, Executive Director, Faculty Affairs, Medicine
- Brian Lee, Assistant Dean, Finance, Arts
- Ed Putnins, Professor & Associate Dean of Research, Dentistry
- Sarah Roth, Assistant Dean, Development & Alumni Engagement, Medicine
- Adrienne Nolan, Director of Development, UBCO
- Kari Streelasky, Assistant Dean, External Relations, Law
- Andrea Wink, Assistant Dean, Development & Alumni Engagement, Applied Science

The Policy Review Committee prepared the proposed amendments to the Policy and unanimously supports the proposed amendments to the Policy.


The new Policy #47 was presented to the Board of Governors for information on November 26, 2013. Throughout the subsequent period from November until the end of January 2014, the University widely solicited comments on the proposed amendments in the following manner:

1. The initial proposal for Policy #47 was published on the Office of University Counsel’s website under a call for comments on November 26, 2013. The comment period ran until January 24, 2014.
2. The Office of University Counsel sent an email, and a reminder notice, highlighting the key elements of the new Policy #47 and calling for comments via the “Heads Up” email distribution list on both campuses to: the UBC executive team, associate vice presidents, all deans, principals, associate deans, directors and heads of unit, department directors, student leaders and union leaders.
3. The Office of University Counsel met with both the Vancouver and Okanagan Committees of Deans and the Provosts.
4. Twelve submissions were received during the comment period, all of which were considered by the Committee.

**Additional Materials**

A copy of the proposed Policy, a comparison of the Proposed Policy and the November 2013 Draft Policy, and a summary of the substantive comments received on the November 2013 Draft Policy and the Committee’s responses to each are attached.

<b>Previous Report Date</b>	November 26, 2013	<b>Decision</b>	N/A
<b>Discussion Points</b>	Presented to the Board of Governors for information.		
<b>Action / Follow Up</b>	Published a call for comments.		

 <p><b>The University of British Columbia Board of Governors</b></p>	<p><b>Policy No.:</b>  <b>47</b></p>	<p><b>Approval Date:</b> December 1987</p> <p><b>Last Revision:</b> TBD 2013/14</p>
<p><b>Responsible Executive:</b> Vice President, Academic and Provost (Vancouver) Provost and Vice Principal, Academic (Okanagan)</p>		
<p><b>Title:</b>  <b>Chair, Professorship and Distinguished Scholar Honorifics</b></p>		
<p><b>Background &amp; Purposes:</b></p> <p>The purpose of this Policy is to support the goal of UBC in encouraging the creation of prestigious chair, professorship and distinguished scholar honorifics funded by endowments or other funds and to establish the academic, financial and accountability criteria for these Honorifics.</p> <p>Honorifics are conferred by UBC to reward excellence in research and teaching. Conferral of an Honorific is normally accompanied by financial resources for research and teaching support and honoraria; and where a financial sustainability has been approved in accordance with the Policy, the funds may be used for salary and benefits. Holders of Honorifics provide regular reports to UBC on their activities, and UBC shares the impact of Honorifics with the donors who have enabled the establishment of Honorifics and with the broader community.</p>		
<p><b>Related Policies:</b></p> <p>Policy 113, Endowment Management Policy 114, Donations Policy 124, Naming</p>		

## 1. Scope

- 1.1. This Policy applies in respect of the recognition of outstanding individuals who hold appointments at UBC as faculty members or hold faculty term appointments without review as defined by UBC Policy #42 as:
- (a) Chair holders,
  - (b) Professorship holders, and
  - (c) Distinguished Scholars
- (collectively, the “**Honorifics**”);

except that it does not apply to University Killam Professors (as defined by UBC Policy #57) or government funded research chair programs such as the Canada Research Chair program or the Tri-

Council research programs. The distinction among the types of Honorifics is based primarily on the eligibility criteria and extent of funding.

- 1.2. The Policy does not apply to incumbents who hold Honorifics at the date the Policy is adopted unless the incumbent requests in writing to the Responsible Executive that the Policy apply to the incumbent and the Responsible Executive approves the request.
- 1.3. The Policy does apply to Honorifics conferred on Holders (as defined in section 4.4 of the Policy) after this Policy comes into force even if they are established pursuant to an arrangement already in existence at the date the Policy is adopted or an arrangement that is in discussions with a donor at the date the Policy is adopted.
- 1.4. Where the Policy applies to incumbents and Holders as set out in sections 1.2 and 1.3, it will apply only to the extent the Policy is not inconsistent with the legal terms establishing the Honorific.

### **Academic Components:**

#### **2. Naming Convention**

- 2.1. Subject to section 2.2, Honorifics may be named as requested by a donor who has contributed the majority of the funds to establish the Honorific; and will normally include “UBC” and the field of interest in the name. For example, the “Taylor Wong UBC Chair in Music” or the “Taylor Wong Chair in Music at UBC” or the “Taylor Wong Chair in Music, a UBC Chair”.
- 2.2. The naming of Honorifics must be approved by the Responsible Executive.

#### **3. Establishment**

- 3.1. The establishment of a Chair requires the approval of the Board of Governors upon the recommendation of the Senate.
- 3.2. The establishment of Professorship and Distinguished Scholar Honorifics requires the approval of the Responsible Executive.

#### **4. Conferral of Recognition on Holder of Honorific**

- 4.1. Honorifics are conferred by UBC on UBC faculty members and persons eligible for faculty term appointments without review (as defined by UBC Policy #42) (referred to as “**Eligible Individuals**”) to recognize academic excellence.
- 4.2. An Honorific is separate and distinct from a faculty appointment, will be conferred based on merit, and will not be tied to the appointment of a particular individual. For greater clarity, an Honorific may be tied to a position, such as a Dean or Head of a Department within a Faculty. In that case, the terms of the appointment of the Dean or the Head or other position govern the conferral of the Honorific.
- 4.3. The decision to confer an Honorific on an Eligible Individual will be made by the Responsible Executive on the recommendation of the Dean and in accordance with the Procedures.
- 4.4. Upon the Honorific being conferred on an Eligible Individual, the individual is referred to as a “**Holder**”.

## **5. Eligibility Requirements**

- 5.1. A Chair provides for recognition of an established academic and leader who has attained eminence in his or her field of endeavour. A Chair is normally available only to an Eligible Individual who has the rank of professor or professor of teaching.
- 5.2. A Professorship provides for recognition of an Eligible Individual who has attained, or has the potential to attain, eminence in his or her field of endeavour.
- 5.3. A Distinguished Scholar provides for recognition of an Eligible Individual who has achieved distinction in his or her field of endeavour. A Distinguished Scholar is available to faculty members of all ranks.

### **Accountability Components:**

## **6. Assessment and Accountability**

- 6.1. As an Honorific provides recognition for Holders, a Holder is accountable to UBC; and UBC is accountable to the community and to its donors whose gifts enable the establishment and continuation of Honorifics.
- 6.2. Holders are required to establish objectives and prepare reports as set out in the Procedures. The reports assist UBC in assessing the effectiveness of the additional resources provided by funding for Honorifics in achieving an added measure of excellence in teaching and research at UBC. The reports also assist UBC to account to donors and the broader community about the effectiveness and accomplishments of Honorifics.

### **Financial Components:**

## **7. Funds**

- 7.1 A Holder is normally provided with access to financial resources which are intended to promote and enhance the Holder's academic activities including his or her research, teaching and educational leadership capabilities. Funds are to be used as set out in the Procedures to this Policy.



## PROCEDURES

**Approved: December 1987**

**Revised: DATE TO BE DETERMINED 2013/14**

*Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors and are incorporated in the next publication of the UBC Policy and Procedure Handbook."*

### **1. Administration**

- 1.1. The responsibility for the administration of this Policy and these Procedures lies with the Vice-President Academic and Provost (Vancouver) in relation to Honorifics at UBC's Vancouver campus, and the Provost and Vice Principal, Academic (Okanagan) in relation to Honorifics at UBC's Okanagan campus (the "**Responsible Executive**").

### **Academic Components:**

### **2. Honorific Periods ("Period(s)")**

- 2.1. Chairs and Professorships are conferred on Holders for a five-year Period and may be extended by up to one (1) year upon the written approval of the Dean.
- 2.2. A Distinguished Scholar Honorific is normally conferred on a Holder for a minimum of a three (3) year Period and may be extended upon written approval of the Dean to a maximum of five (5) years.
- 2.3. The written terms of an Honorific may provide a maximum number of Periods for a Holder. For example, an Honorific tied to a Headship is normally limited to two Periods.

### **3. Conferral Process**

- 3.1. Upon establishment of an Honorific, upon a vacancy where an Honorific does not have a Holder, and at the discretion of the Dean upon the end of a Period, the Dean will convene a committee to make a recommendation to the Dean to confer an Honorific on an Eligible Individual, which may include a recommendation to renew an incumbent Holder for an additional Period if applicable. The Dean may advertise to solicit applications for the Honorific.
- 3.2. The Dean will make a recommendation for conferral of an Honorific on an Eligible Individual, or renewal in the case of an incumbent Holder if applicable, to the Responsible Executive.
- 3.3. The Responsible Executive will make a decision, and will notify the Eligible Individual of the conferral of the Honorific on the Holder, or his or her renewal in the case of an incumbent Holder whose honorific is renewed.

### **Accountability Components:**

### **4. Assessment and Accountability**

- 4.1. At the beginning of the Period, the Holder must establish specific objectives related to the Honorific as approved by the Dean and in accordance with any written terms of the Honorific.

- 4.2. The Holder will provide to his or her Department Head and the Dean an annual report of his or her activities related to the Honorific, and if appropriate, an annual report for donors. The annual report at the end of the Holder's final Period will be a comprehensive report encompassing the achievements of the Holder related to the Honorific.
- 4.3. If funding is available, a maximum Period has not been reached, and the Holder wishes to be considered for renewal of the Honorific for a subsequent Period, then the Holder will provide to his or her Department Head and the Dean a comprehensive report in the penultimate year of the Period. The Holder's comprehensive report will be reviewed by the Head, if relevant, and used to make a recommendation to the Dean for renewal for a subsequent Period. If the Dean does not recommend renewal, the Dean will notify the Holder and the Responsible Executive of the recommendation, and the Holder will have 30 days from the date of the notice to make submissions to the Responsible Executive. After the end of the 30 days, the Responsible Executive will make a final decision.
- 4.4. Subject to reporting requirements established by the Responsible Executive, a Dean may prescribe the form of the reports required.
- 4.5. If at any time during the Period the Holder is not satisfactorily meeting the objectives of the Honorific, the Dean, in consultation with the Department Head, may make a recommendation to the Responsible Executive to remove the Honorific from the Holder. The Dean will notify the Holder of the recommendation, and the Holder will have 30 days from the date of the notice to make submissions to the Responsible Executive. After the end of the 30 days, the Responsible Executive will make a final decision.

### **Financial Components:**

#### **5. Funding**

- 5.1. Honorifics may be funded by UBC endowment or fixed term funding.
- 5.2. The funding required to establish an Honorific may differ depending on the Faculty, and the amount required will be commensurate with the goal of enhancing the capacity of an Honorific to undertake research, teaching and educational leadership activities. The Responsible Executive will create guidelines establishing the minimum amounts required by Faculties, and will periodically adjust the amounts required.
- 5.3. Funding for fixed term funded Chairs and Professorships is recommended to be for at least 10 years, and at a minimum must be for at least five (5) years. Funding for Distinguished Scholars is recommended to be for at least three (3) years.
- 5.4. Honorifics dissolve upon termination of their funding source.

#### **6. Use of Funds**


- 6.1. An account shall be created to hold the annual amount available for spending for the purposes of the Honorific (the "**Annual Allocation**"). The Annual Allocation shall be used pursuant to the mutual agreement between the Holder and the Department Head or the Dean and will normally be used to support research, teaching and educational leadership activities.
- 6.2. The Annual Allocation will not attract the collection of indirect cost recovery by the University unless expressly permitted by an arrangement or agreement establishing an Honorific.

- 6.3. The Annual Allocation may be used for honoraria, salary and benefits for UBC employees, including but not limited to Holders, subject to the following provisions:
- (a) Unless previously approved by the Responsible Executive, honoraria received by UBC employees must comply with UBC's policies on honoraria.
  - (b) Before an Honorific can be conferred on an Eligible Individual where the Faculty intends to use all or a portion of the Annual Allocation to support salary or benefits of any UBC employee, the Department Head must create a Financial Sustainability Plan and obtain the approval of the Dean and the Responsible Executive.
  - (c) "**Financial Sustainability Plan**" means a plan identifying resources that will support the salary and benefits of any UBC employee during the Period of the Honorific and on an ongoing basis or until the end of his or her appointment. A Financial Sustainability Plan must:
    - i. Ensure that funding is sufficient for the Period of the Honorific by providing for salary increases during the Period; and
    - ii. Identify the manner in which the salary and benefits of any relevant UBC employee will be paid if and when the Eligible Individual ceases to be a Holder.
  - (d) The Responsible Executive requires the following steps to be undertaken by the Faculty before it will approve a Financial Sustainability Plan:
    - i. Prior to advertising the existence of an Honorific or conferring an Honorific on a Holder, the academic unit is required to identify the resources associated with the potential Holder (e.g. financial, space, rank) and to provide appropriate letters guaranteeing financial or other resource commitments to the Dean; and
    - ii. Following approval from the Dean, the request to hire and/or confer the Honorific shall be forwarded to the Responsible Executive for final approval, prior to the Dean granting permission to proceed.

**Faculties of Medicine and Dentistry:**

**7. Additional Considerations Regarding Use of Funds**

- 7.1. The Annual Allocation may also be used to buy out clinical time, which means that the Annual Allocation can be used to decrease clinical responsibilities in order to increase protected time for research and other academic activities. This is not considered to be salary support.

 <p><b>The University of British Columbia Board of Governors</b></p>	<p><b>Policy No.:</b></p> <p style="text-align: center;"><b>47</b></p>	<p><b>Approval Date:</b> December 1987</p> <p><b>Last Revision:</b> TBD 2013/14</p>
	<p><b>Responsible Executive:</b> Vice President, Academic and Provost (Vancouver) <del>Deputy Provost and</del> Vice <del>Chancellor (UBC</del> <u>Principal, Academic (Okanagan)</u></p>	
<p><b>Title:</b></p> <p style="text-align: center;"><b>Chairs, Professorships and Distinguished Scholar Honorifics</b></p>		
<p><b>Background &amp; Purposes:</b></p> <p>The purpose of this Policy is to support the goal of UBC in encouraging the creation of prestigious chairs, professorships and distinguished scholar honorifics funded by endowments or other funds and to establish the academic, financial and accountability criteria for these Honorifics.</p> <p>Honorifics are conferred by UBC <del>upon faculty members</del> to reward excellence in research and teaching. Conferral of an Honorific is normally accompanied by financial resources for research and teaching support and honoraria, <del>and in some cases; and where a financial sustainability has been approved in accordance with the Policy,</del> the funds may be used for salary and benefits. Holders of Honorifics provide regular reports to UBC on their activities, and UBC shares the impact of Honorifics with the donors who have enabled the establishment of Honorifics and with the broader community.</p>		
<p><b>Related Policies:</b></p> <p>Policy 113, Endowment Management Policy 114, Donations Policy 124, Naming</p>		

## 1. Scope

1.1. This Policy applies in respect of the recognition of outstanding ~~faculty members as individuals who hold appointments at UBC as faculty members or hold faculty term appointments without review as defined by UBC Policy #42 as:~~

- (a) Chair holders,
- (b) Professorship holders, and
- (c) Distinguished Scholars

(collectively, the “**Honorifics**”);

except that it does not apply to University Killam Professors (as defined by UBC Policy #57) or government funded research chair programs such as the Canada Research Chair program or the Tri-Council research programs. The distinction among the types of Honorifics is based primarily on the eligibility criteria and extent of funding.

1.2. ThisThe Policy does not apply to any arrangements incumbents who hold Honorifics at the date the Policy is adopted unless the incumbent requests in writing to the Responsible Executive that the Policy apply to the incumbent and the Responsible Executive approves the request.

1.3. The Policy does apply to Honorifics conferred on Holders (as defined in section 4.4 of the Policy) after this Policy comes into force even if they are established pursuant to an arrangement already in existence at the date the Policy is adopted, or to arrangements an arrangement that may be made pursuant to is in discussions with donors that had already commenced a donor at the date this the Policy is adopted, even if such arrangements do not conform to the Policy.

1.4. Where the Policy applies to incumbents and Holders as set out in sections 1.2 and 1.3, it will apply only to the extent the Policy is not inconsistent with the legal terms establishing the Honorific.

### **Academic Components:**

## **2. Naming Convention**

2.1. Subject to section 2.2, Honorifics may be named as requested by a donor who has contributed the majority of the funds to establish the Honorific; and will normally include “UBC” and the field of interest in the name. For example, the “Taylor Wong UBC Chair in Music” or the “Taylor Wong Chair in Music at UBC” or the “Taylor Wong Chair in Music, a UBC Chair”.

2.2. The naming of Honorifics must be approved by the Responsible Executive.

## **3. Establishment**

3.1. Honorifics are conferred by UBC on faculty members, referred to as holders (“Holders”), to recognize academic excellence.

3.2.3.1. The establishment of a Chair requires the approval of the relevant Senate and Board of Governors upon the recommendation of the Senate.

3.3.3.2. The establishment of Professorship and Distinguished Scholar Honorifics requires the approval of the Dean of the Faculty where the Holder of the Honorific holds his or her primary appointment as a faculty member (the “Dean”) and the relevant Responsible Executive (Responsible Executive is defined in the Procedures to this Policy). Responsible Executive.

## **4. Conferral of Recognition on Holder of Honorific**

4.1. To be recognized with an Honorific, an individual must hold a Faculty appointment at UBC and meet the eligibility requirements set out in this Policy.

4.1. Honorifics are conferred by UBC on UBC faculty members and persons eligible for faculty term appointments without review (as defined by UBC Policy #42) (referred to as “Eligible Individuals”) to recognize academic excellence.

- 4.2. An Honorific is separate and distinct from a ~~f~~Faculty appointment, will be conferred based on merit, and will not be tied to the appointment of a particular individual. For greater clarity, an Honorific may be tied to a position, such as a Dean or Head of a Department within a Faculty. In that case, the terms of the appointment of the Dean or the Head or other position govern the conferral of the Honorific.
- 4.3. The decision to ~~recognize a faculty member with~~ confer an Honorific on an Eligible Individual will be made by the ~~relevant~~ Responsible Executive on the recommendation of the Dean and in accordance with the Procedures.
- 4.4. Upon the Honorific being conferred on an Eligible Individual, the individual is referred to as a “Holder”.

## 5. Eligibility Requirements

- 5.1. A Chair provides for recognition of an established academic and leader who has attained eminence in his or her field of endeavour. A Chair is normally available only to ~~a faculty member~~ an Eligible Individual who has the rank of professor or professor of teaching.
- 5.2. A Professorship provides for recognition of an ~~academic~~ Eligible Individual who has attained, or has the potential to attain, eminence in his or her field of endeavour. ~~A Professorship is available to faculty members of all ranks.~~
- 5.3. A Distinguished Scholar provides for recognition of an ~~academic~~ Eligible Individual who has achieved distinction in his or her field of endeavour. A Distinguished Scholar is available to faculty members of all ranks.

### Accountability Components:

## 6. Assessment and Accountability

- 6.1. As an Honorific provides recognition for Holders, a Holder is accountable to UBC; and UBC is accountable to the community and to its donors whose gifts enable the establishment and continuation of Honorifics.
- 6.2. Holders are required to establish objectives and prepare reports as set out in the Procedures. The reports assist UBC in assessing the effectiveness of the additional resources provided by funding for Honorifics in achieving an added measure of excellence in teaching and research at UBC. The reports also assist UBC to account to donors and the broader community about the effectiveness and accomplishments of Honorifics.

### Financial Components:

## 7. Funds

- 7.1. ~~Where a faculty member is recognized with an Honorific, he or she~~ A Holder is normally provided with access to financial resources which are intended to promote and enhance the Holder's academic activities including his or her research, teaching and educational leadership capabilities. Funds are to be used as set out in the Procedures to this Policy.

## PROCEDURES

Approved: December 1987

Revised: DATE TO BE DETERMINED 2013/14

*Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors and are incorporated in the next publication of the UBC Policy and Procedure Handbook."*

### **1. Administration**

- 1.1. The responsibility for the administration of this Policy and these Procedures lies with the Vice-President Academic and Provost (Vancouver) in relation to Honorifics at UBC's Vancouver campus, and the ~~Deputy Provost and Vice Chancellor (UBC-Principal, Academic~~ (Okanagan) in relation to Honorifics at UBC's Okanagan campus (the "**Responsible Executive**").

### **Academic Components:**

### **2. Honorific Periods ("Period(s)")**

- 2.1. Chairs and Professorships are conferred on Holders for a five-year Period and may be extended by up to one (1) year upon the written approval of the Dean.
- 2.2. A Distinguished Scholar Honorific is normally conferred on a Holder for a minimum of a three (3) year Period and may be extended upon written approval of the Dean to a maximum of five (5) years.
- 2.3. The written terms of an Honorific may provide a maximum number of Periods for a Holder. For example, an Honorific tied to a Headship is normally limited to two Periods.

### **3. Conferral Process**

- 3.1. Upon establishment of an Honorific, upon a vacancy where an Honorific does not have a Holder, and at the discretion of the Dean upon the end of a Period, the Dean will convene a committee to make a recommendation to the Dean to confer an Honorific on an Eligible Individual, which may include a recommendation to renew an incumbent Holder for an additional Period if applicable. The Dean may advertise to solicit applications for the Honorific.
- 3.2. The Dean will make a recommendation for conferral of an Honorific on an Eligible Individual, or renewal in the case of an incumbent Holder if applicable, to the Responsible Executive.
- 3.3. The Responsible Executive will make a decision, and will notify the Eligible Individual of the conferral of the Honorific on the Holder, or his or her renewal in the case of an incumbent Holder whose honorific is renewed.

### **Accountability Components:**

### **3.4. Assessment and Accountability**

- 3.1.4.1. At the beginning of the Period, the Holder must establish specific objectives related to the Honorific as approved by the Dean and in accordance with any written terms of the Honorific.

~~3.2.4.2.~~ The Holder will provide to his or her Department Head ~~or~~and the Dean an annual report of his or her activities related to the Honorific, and if appropriate, an annual report ~~in language suitable~~ for donors. The annual report at the end of the Holder's final Period will be a comprehensive report encompassing the achievements of the Holder related to the Honorific.

~~3.3.4.3.~~ If funding is available ~~and~~, a maximum Period has not been reached, and the Holder wishes to be considered for renewal of the Honorific for a subsequent Period, then the Holder will provide to his or her Department Head ~~or~~and the Dean a comprehensive report in the penultimate year of the Period. The Holder's comprehensive report will be reviewed by the Head, if relevant, and used to make a recommendation to the Dean for renewal for a subsequent Period. ~~The~~ If the Dean does not recommend renewal, the Dean will ~~make a~~ notify the Holder and the Responsible Executive of the recommendation, and the Holder will have 30 days from the date of the notice to make submissions to the ~~relevant~~ Responsible Executive, who will confirm renewal of the Honorific on the Holder. After the end of the 30 days, the Responsible Executive will make a final decision.

~~3.4.4.4.~~ ASubject to reporting requirements established by the Responsible Executive, a Dean may prescribe the form of the reports required.

~~2.1~~ Where a Holder meets the objectives of the Honorific, it is expected that the Responsible Executive will normally confer renewal for a further Period.

~~3.5.4.5.~~ If at any time during the Period the Holder ~~does~~is not ~~meets~~satisfactorily meeting the objectives of the Honorific, the Dean, in consultation with the Department Head, may make a recommendation to the Responsible Executive to remove the Honorific from the Holder. ~~The~~The Dean will notify the Holder of the recommendation, and the Holder will have 30 days from the date of the notice to make submissions to the Responsible Executive. After the end of the 30 days, the Responsible Executive will make a final decision.

## **Financial Components:**

### **4.5. Funding**

~~4.1.5.1.~~ Honorifics may be funded by UBC endowment or fixed term funding.

~~4.2.5.2.~~ The funding required to establish an Honorific may differ depending on the Faculty, and the amount required will be commensurate with the goal of enhancing the capacity of an Honorific to undertake research, teaching and educational leadership activities. The Responsible Executive will create guidelines establishing the minimum amounts required by Faculties, and will periodically adjust the amounts required.

~~4.3.5.3.~~ Funding for fixed term funded Chairs and Professorships is recommended to be for at least 10 years, and at a minimum must be for at least five (5) years. Funding for Distinguished Scholars is recommended to be for at least three (3) years.

~~4.4.5.4.~~ Honorifics dissolve upon termination of their funding source.

### **5.6. Use of Funds**

~~5.1.6.1.~~ An account shall be created to hold the annual amount available for spending for the purposes of the Honorific (the "**Annual Allocation**"). The Annual Allocation shall be used pursuant to the mutual



agreement between the Holder and the Department Head or the Dean and will normally be used to support research, teaching and educational leadership activities.

6.2. The Annual Allocation will not attract the collection of indirect cost recovery by the University unless expressly permitted by an arrangement or agreement establishing an Honorific.

~~5.2.6.3.~~ The Annual Allocation may be used for honoraria, salary and benefits for UBC employees, including but not limited to Holders, subject to the following provisions:

- (a) Unless previously approved by the ~~Vice President, Academic and Provost, Responsible Executive, honoraria received by~~ UBC employees ~~may not receive honoraria from all sources in excess of 1/6 of their salary in accordance must comply~~ with UBC's ~~Research Policy, Policy 87~~ policies on honoraria.
- (b) Before an Honorific can be conferred on ~~a Holder~~ an Eligible Individual where the Faculty intends to use all or a portion of the Annual Allocation to support salary or benefits of any UBC employee, the Department Head must create a Financial Sustainability Plan and obtain the approval of the Dean and the ~~relevant~~ Responsible Executive.
- (c) **“Financial Sustainability Plan”** means a plan identifying resources that will support the salary and benefits of any UBC employee during the Period of the Honorific and on an ongoing basis or until the end of his or her appointment. A Financial Sustainability Plan must:
  - i. Ensure that funding is sufficient for the Period of the Honorific by providing for salary increases during the Period; and
  - ii. Identify the manner in which the salary and benefits of any relevant UBC employee will be paid if and when the ~~potential Holder~~ Eligible Individual ceases to be a Holder.
- (d) The Responsible Executive requires the following steps to be undertaken by the Faculty before it will approve a Financial Sustainability Plan:
  - i. Prior to advertising the existence of an Honorific or conferring an Honorific on a Holder, the academic unit is required to identify the resources associated with the potential Holder (e.g. financial, space, rank) and to provide appropriate letters guaranteeing financial or other resource commitments to the Dean; and
  - ii. Following approval from the Dean, the request to hire and/or confer the Honorific shall be forwarded to the ~~relevant~~ Responsible Executive for final approval, prior to the Dean granting permission to proceed.

**Faculty/Faculties of Medicine and Dentistry:**

**6.7. Additional Considerations Regarding Use of Funds**

~~6.1.7.1.~~ The Annual Allocation may also be used to ~~“Buy Out Clinical Time”~~ buy out clinical time, which means that the Annual Allocation ~~is can be~~ used to decrease clinical responsibilities in order to increase protected time for research and other academic activities. This is not considered to be salary support.

Policy 47 - Attachment 3 - Summary of Comments

#	Comment Category	Comments	Response
1	General	Overall, comments were very supportive of the University's goal of targeting external funding towards improving research, teaching and educational leadership and limiting the use of endowed Honorifics for salary support.	This is the goal of the amended Policy, and therefore, a faculty will need to provide a financial plan for the Responsible Executive's approval before using funds for salary.
2	Distinguished Scholars	One individual felt that the new Distinguished Scholar category was unnecessary.	The University supports this additional level of Honorific. It is intended to provide greater flexibility to Faculties that may have difficulty raising sufficient funds for a Chair or Professorship, but still wish to be able to recognize academics who have made a difference in their field. This creates a new opportunity for donors to support academic excellence. Funding for Distinguished Scholars is normally smaller and for a shorter term than for Chairs and Professorships.
3	Scope	There were several questions seeking clarity on the transitional provisions of this Policy. In other words, does it apply to existing incumbents and to agreements already in place even if there is no current Holder?	The Committee has considered and added transitional provisions. The Policy will not apply to incumbents unless they request to participate and the Responsible Executive approves the request. It will apply to prospective Honorifics conferred on Holders after the Policy comes into force even if they are established pursuant to an arrangement that was already in existence when the Policy comes into force. For greater clarity, the Policy will apply only to the extent it is not inconsistent with any underlying agreement in existence when the Policy is adopted.
4	Naming Convention	There were a few questions about the new naming convention which includes "UBC" in the title of the Honorific. Is embedding the UBC name in the title of a chair meant to be in addition to the funder's name, or as a replacement? Commentators suggested that if it is in addition, there should be more flexibility in the placement of the word "UBC" so that it does not overshadow the funder's name.	There is strong commitment to add UBC to the name. The addition of "UBC" is to identify the Honorifics as being "UBC" academic honorifics. The Committee has added more flexibility in the positioning of "UBC".

**Policy 47 - Summary of Comments**

#	Comment Category	Comments	Response
5	Establishment and Conferral	There were a few comments requesting clarification and more details about the process for conferral. Clarity was sought on how such opportunities will be advertised, and how applications for such titles will be vetted and awarded. Along the same line, one writer also commented that Honorifics should be awarded based on peer review rather than the decision of the administration.	Amendments have been made to the Policy to require, in most cases, that a committee be established by the Dean, and advertising at the discretion of the Dean. Advertising may not be appropriate, for example, where an incumbent Holder is being renewed.
6	Eligibility requirements	Clarification was sought to ensure that faculty members who hold a clinical (versus academic) faculty appointment are potential recipients of Honorifics.	All faculty members and persons with appointments under Policy 42, which includes clinical faculty, will be eligible for Honorifics as long as they meet the additional eligibility requirements of a particular category of Honorific.
7	Eligibility requirements	Clarification was sought as to whether someone at the level of Associate Professor will be eligible for a Chair.	Yes, if they meet the eligibility criteria for a Chair. Normally, persons who are established academics and leaders who have attained eminence in their field of endeavour will be professors or professors of teaching. However, there may be some cases where Eligible Individuals who do not hold this rank meet these criteria. Therefore, we have added some flexibility to recognize that Chairs will "normally" be available only to Eligible Individuals who have the rank of professor or professor of teaching to accommodate those exceptional circumstances where an Eligible Individual who is not at that rank is the best candidate for the Chair.
8	Eligibility requirements	Some comments were made that there was some incongruence in title where an Assistant or Associate Professor received an honorary "Professorship". They suggested that we make it clear that these are "Honorific Professorships".	Honorific titles are in addition to, not substitution for, an academic appointment. Holders are encouraged to use all of their titles proudly.

**Policy 47 - Summary of Comments**

#	Comment Category	Comments	Response
9	Accountability	Some commentators suggested that while the proposed changes introduce new accountability measures, including review and renewal, they do not set out an appeals process in the event that the awarding or removal of an Honorific is challenged. Commentators sought clarification regarding how the University intends to manage any conflicts arising out of selection and review.	Where a Holder is not renewed or is removed, the Holder has an opportunity to make submissions to the Responsible Executive. The Responsible Executive's decision is final.
10	Funds	It was noted that some Faculties will likely continue to use funds for salary because that is their greatest need, and they are concerned their Chairs/Professor Holders will view this negatively. In some cases, where faculties use the funds for salaries, the faculties provide teaching relief to their honorific holders to support holders' ability to do research.	One of the primary goals of the revised Policy is to ensure Honorifics reward excellence for accomplished faculty members, and it is recognized that salary support can meet this purpose; however, where Honorific funds are used to support salary, a financial sustainability plan will be required. Where such salary support also is accompanied by teaching relief so that the Holder can conduct additional research and leadership, this does meet the policy objectives.
11	Funds	Why are funding amounts not in the Policy?	The funding amounts are not in the Policy (or Procedures) because any change would require Board approval (or President approval for Procedures). The Responsible Executive will meet with Faculties to determine minimums - they will be as consistent as possible, allowing for differences where warranted.
12	Honorific Periods	Clause 2.1 of the Procedures suggests that Chairs can be held for a maximum of six years only. Is it possible that Holders can continue in their Chair upon successful review of their performance? Or are incumbents to be rotated every five or six years?	The proposed Procedures provide that a "Period" is for 5 years, which can be extended without review for a 6th year. At the end of a Period, there is a review. Then a Holder's Honorific can be renewed for a subsequent Period (unless the underlying terms of the Honorific provide a maximum number of periods). Minor revisions have been made to clarify that incumbents can be renewed.

**Policy 47 - Summary of Comments**

#	Comment Category	Comments	Response
13	Accountability, Use of Funds	A couple of individuals misunderstood the underlying problem that the Policy revisions are meant to address. The individuals suggested that named Chairs remove from a department or other unit the burden of funding a position and place the university on financial bedrock.	One of the primary reasons the Policy is being amended is because endowment funding does not remove the burden of funding a position, because endowment funding does not keep pace with salary increases.
14	Accountability, Use of Funds	A couple of individuals felt that the amendment creates a bias towards paying holders in the form of research support rather than salary; and that the choice should be left to the Holder.	Using funds for salary is permissible under the amended policy (with a financial sustainability plan). It is the University's decision to use the funds for salary, not the Holder's. Where the University determines funds are not needed for salary, the Holder can be part of the decision-making process to decide on the allocation of funds as honorarium within the limits of the policies, or for research, teaching and educational leadership.
15	Use of Funds	One individual was concerned that the changes to the Policy which require accountability act to undermine academic freedom.	The Provosts, the Deans and the Committee are all strongly supportive of accountability. The Holder is required to set out objectives at the beginning of the conferral of the Honorific, and accountability towards meeting those objectives is important. Honorifics are meant to mark the accomplishments of the Holders.