

BOARD OF GOVERNORS MEETING
19 June 2019

AGENDA
OPEN SESSION

Time: 8:30 a.m.
Location: Drawing Room, Hatley Castle
Attendees: Members of the Board of Governors
 Executive team
 Manager, Board Governance and Planning

8:30 am	1.	Call to order and welcome	
8:33 am	2.	Approval of the agenda <u>MOTION</u> <i>That the agenda be approved as distributed.</i>	approval
8:34am	3.	Approval of the minutes (attachment 1) <u>MOTION</u> <i>That the minutes of the open session of the 29 March 2019 Board of Governors meeting be approved as distributed.</i>	approval
8:35am (15 min)	4.	Report from the President	information
8: 50am (30 min)	5.	Spotlight on the University 5.1 Presentation on the Faculty of Social and Applied Sciences Presented by Dean Brigitte Harris	information
Reports from Committees			
9:20am (15 min)	6.	Report from the Program and Research Council 6.1 Report from the Chair 6.2 New Program: Graduate Certificate in Management and Leadership (attachment 2) <u>MOTION</u> <i>That the Board of Governors approves the Graduate Certificate in Management and Leadership as a new program.</i>	information approval

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		<p>6.3 Program Approval Framework (attachment 3)</p> <p><u>MOTION</u> <i>That the Board of Governors approves the Program Approval Framework.</i></p>	approval
9:35am (20 min)	7.	<p>Report from the Finance and Audit Committee</p> <p>7.1 Report from the Chair</p> <p>7.2 Strategic Investment Portfolio Plan (attachment 4)</p> <p><u>MOTION 1</u> <i>That the Board of Governors approves adoption of Option 1 for the investment strategy for Royal Roads University.</i></p> <p><u>MOTION 2</u> <i>That the Board of Governors approves adoption of Option 1 for the investment strategy for the Royal Roads University Foundation.</i></p> <p><u>MOTION 3</u> <i>That the Board of Governors approves the adoption of the format for the Strategic Investment Portfolio Plan.</i></p> <p>7.3 Web Presence Renewal Project Business Case (attachment 5)</p> <p><u>MOTION</u> <i>That the Board of Governors approves the Web Presence Renewal Project Business Case as presented.</i></p> <p>7.4 Enterprise Resource Planning Program Concept Paper (attachment 6)</p> <p><u>MOTION</u> <i>That the Board of Governors approves a budget of up to \$400K to complete the business case analysis and preliminary design of the proposed Enterprise Resource Planning renewal program.</i></p> <p>7.5 Update on the Learning and Teaching Auditorium</p> <ul style="list-style-type: none"> Learning and Teaching Auditorium quarterly report (attachment 7) 	<p>approval</p> <p>approval</p> <p>approval</p> <p>approval</p> <p>information</p>

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9:55am (5 min)	8.	<p>Report from the Governance and Nominating Committee</p> <p>8.1 Report from the Chair</p> <p>8.2 Committee Terms of Reference (attachment 8)</p> <p><u>MOTION</u> <i>That the Board of Governors approves the revisions to the Finance and Audit Committee Terms of Reference and the Governance and Nominating Committee Terms of Reference as recommended and outlined in the briefing materials.</i></p> <p>8.3 Board retreat (attachment 9)</p> <p><u>MOTION</u> <i>That the Board of Governors schedules a half-day Board Retreat and dinner on Wednesday, 09 October 2019.</i></p>	<p>information</p> <p>approval</p> <p>approval</p>
<p>Consent Agenda</p> <p>Pro Forma motion: <i>That the following items be approved or received for information by the Board of Governors by consent.</i></p>			
	9.	<p>Consent – approval items</p> <p>No approval items</p>	approval
	10.	<p>Consent – information items</p> <p>10.1 Minutes of the 30 May 2019 meeting of the Program and Research Council (attachment 10)</p> <p>10.2 2018/19 Annual Research Report (attachment 11)</p> <p>10.3 Quality and Student Satisfaction Measures report (attachment 12)</p> <p>10.4 Report from the Prevention and Response to Sexual Violence Advisory Committee (attachment 13)</p> <p>10.5 KPMG Management Letter and Management Responses (attachment 14)</p>	information

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		10.6 2018/19 Freedom of Information and Protection of Privacy Year End Report (attachment 15) 10.7 Government Reporting Entity (GRE) 2018/19 Compliance Report (attachment 16)	
10:00am	11.	Adjournment	

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Board of Governors MINUTES OF THE OPEN SESSION

**29 March 2019
Drawing Room, Hatley Castle**

PRESENT	
Board: Kathleen Birney, Board Chair & Chancellor Philip Steenkamp, President & Vice-Chancellor Cindy Brar Nelson Chan Bruce Donaldson Lydia Hwitsum Doug Kobayashi Nadine Penalagan Lori Simcox Jennifer Walinga (via videoconference)	Administration: Cheryl Eason Steve Grundy Pedro Márquez Bonnie Nelson Karen Hakkarainen (recording) Guests: Bill Holmes
REGRETS	
Dave Byng Geoff Pearce	Katharine Harrold

1. Call to order and welcome – 9:00 a.m.

Board Chair Kathleen Birney welcomed board members and members of the university community who were present to observe the meeting. She acknowledged with gratitude the Lkwungen and Xwsepsum families and the traditional lands on which the university sits.

The Chair announced that Vern Slaney has completed his service on the Board of Governors effective 12 March 2019. She noted that Vern was chair of the Finance and Audit Committee and chair of the Presidential Search Committee and thanked him for his service to the university.

Geoff Pearce has been appointed to the Board of Governors for a term from 12 March 2019 to 31 July 2020. Due to commitments made before his appointment, Geoff was unable to attend the meeting and sent his regrets. Now retired, Geoff was a chief administrative officer in local governments and has a background in governance.

The Chair announced that the meeting was Jennifer Walinga's last as the faculty-elected member of the Board and thanked her for her contributions. Jennifer has served on the Program and Research Council during her tenure.

David Black has been elected by the faculty to serve on the Board for a three year term from 01 April 2019 to 31 March 2022. David is an associate professor in the School of Communication and Culture.

2. Approval of the agenda

The Board Chair reported that the presentation on alumni relations scheduled as item 6.2 of the agenda will be deferred to a future meeting.

MOTION (Donaldson/Kobayashi)

That the agenda be approved with an amendment to remove agenda item 6.2 Update on Alumni Relations.

CARRIED

3. Approval of the minutes

MOTION (Brar/Kobayashi)

That the minutes of the open session of the 14 December 2018 meeting be approved as distributed.

CARRIED

4. Report from the President

The President provided an oral report on activities undertaken in his first three months in office. To date, he has met with all units on campus, except for the gardens and grounds staff, with whom he will meet later in the spring. Other groups that the President has met include, for example, the RRU Student Association, RRU Faculty Association, Blue Heron People, advisory councils, the Research Universities Council of BC, and members of the ex-cadet community, as well as individual students. He attended Universities Canada's New Presidents Seminar and RRU classes, both in-person and on-line.

Key priorities for the President include:

- Implementing the 2019/20 Academic Plan,
- Supporting the work already in progress to update the Learning, Teaching and Research Model,
- Developing a refreshed research strategy,
- Finalizing and implementing an indigenous strategy,
- Developing a robust alumni engagement strategy,
- Implementing a social media strategy for the President,
- Building capacity in institutional practices around equity, diversity and inclusion,
- Enhancing the reputation and rank of the university,
- Participating in the DND land disposition process, and
- Continuing to engage with government initiatives to explore increasing post-secondary access on the West Shore.

On April 4th, a visioning exercise will be launched, the outcome of which will set a long term vision for the institution. Dr. Pedro Márquez will lead the process and all members of the university community will be invited to participate.

In the coming weeks, the President will attend several conferences that will provide opportunities to connect with leaders of other institutions that are developing new ways of approaching teaching and learning, as well as showcase RRU's Learning, Teaching and Research Model.

The Board thanked the President for the comprehensive overview of his first 3 months in office.

5. Diversity Policy

The President provided a brief overview of the purpose of the recommended Diversity Policy, noting that it aligns to the university's broader objectives regarding equity, diversity and inclusion on campus. Compliance with the policy will be measured through regular reporting to the Board as required under the policy, with management to develop metrics to report against. If the policy is approved by the Board, then the university's Diversity Statement, previously adopted by the Board as a board policy, would continue as an expression of the university's commitment to diversity, to be championed by the Diversity Action Group.

MOTION (Hwitsum/Simcox)

That the Board of Governors retire the current RRU Diversity Statement as a board policy; approves as a board policy the policy entitled Diversity Policy effective 29 March 2019; and endorses the RRU Diversity Statement.

CARRIED

6. Spotlight on the university

The President reported that he has invited the deans of the faculties to present on their portfolios in rotation, beginning with the Faculty of Management.

6.1 Presentation on the Faculty of Management

The Board welcomed Dean Bill Holmes to the meeting.

Dean Holmes provided an overview of the Faculty of Management and its structure. It is anticipated that the Faculty of Management will be a significant driver of growth for the institution, while the School of Business presents an important naming opportunity for the university. Key points raised in the presentation include:

- Academic publishing and research within the faculty is on the rise,
- Opportunities lie in connecting more deeply with alumni of the Masters of Business Administration program, which will celebrate its 20th anniversary this year,

- New, specialized programs are a significant opportunity; diversity in programming will be key to ensuring that RRU avoids being defined by a narrow range of programs,
- Faculty retention is stable but staff turnover has presented some challenges as staff leave for more lucrative opportunities,
- Changing demographics will have implications for the faculty's competitive position; declining school leavers are driving other universities to look to RRU's traditional demographic of mid-career learners to bolster their enrolments,
- Across the sector there is significant growth in specialist master's level programs.

With respect to established university ranking systems, Dean Holmes reported that Royal Roads is not ranked and that, typically, rankings are more important to international students than domestic students. The Royal Roads model does not lend itself to ranking and some ranking systems would prohibit the university from certain practices. Prior learning assessment, which is a key distinguishing feature for the university, for example, is not permitted under some ranking systems. Similarly, while the heavy use of associate faculty fits the RRU business model and supports many institutional objectives, associate faculty do not typically engage in research or have strong publishing records, both of which are metrics used in many ranking systems.

The Board offered the following observations:

- Maintaining quality in programming is critically important to the viability of the university,
- A strong marketing strategy may offset the lack of rankings, and
- High levels of staff turnover are a risk factor that should be addressed in the risk management framework currently being developed by management.

The Board thanked Dean Holmes for the comprehensive presentation.

Break – 10:18 a.m. to 10:31 a.m.

7. Report from the Finance and Audit Committee

7.1 2019/20 Operating Plan

Nelson Chan, vice-chair of the Finance and Audit Committee, reported that the committee had a deep discussion of the 2019-20 Operating Plan and recommended it to the Board for approval.

The President reported that factors in both the internal and external environments have been highlighted in the presentation as they will have a significant impact on the university in the coming years. With respect to talent management, a priority initiative of the university has been a job evaluation and salary review and the operating plan includes measures to address the

outcomes of the review. Other initiatives reflected in the plan include the revised Learning, Teaching and Research Model; an enterprise resource planning system; enterprise risk management; research, indigenous and internationalization strategies; and capital projects such as the Learning and Teaching Auditorium. In terms of future years, operating plans will align to the shared vision that will result from the soon-to-be launched visioning exercise.

Cheryl Eason presented the operating plan to the Board. Key points raised include:

- The steep increase in enrolments for 2019/20 derives from two factors:
 - Higher than anticipated intake of international students in the Masters of Global Management program, and
 - New programs launching in China.
- A significant contributor to increases on the expense side of the plan are increases in compensation related to two factors:
 - Adjustments to compensation resulting from the job review, and
 - New hires to address vacancies in positions. Vacancy lag was 6.6% in 2018/19, compared to the historical rate of 2.8%.
- Investment in capital infrastructure includes the Learning and Teaching Auditorium, as well as routine campus maintenance and infrastructure upgrades.
- The plan reflects investment in website and IT upgrades.

The Board thanked Cheryl for the comprehensive report. The Board noted that its policy with respect to cost/revenue ratios requires that expenses do not exceed 95% of revenues. The 2019/20 plan, however, forecasts expenses at 98% of revenues. Consequently, it will be important for management to identify off-ramps for the initiatives included in the plan, particularly capital investment projects, in the event that revenues do not materialize as forecast.

The Board also observed that economic indicators suggest the possibility of recession on the horizon and queried the potential impact on the university. Management reported that because of its mix of programs RRU is well-positioned to withstand an economic downturn.

MOTION (Kobayashi/Donaldson)

That the Board of Governors approves the 2019/20 operating plan, including tuition and ancillary fee increases, and the tuition and ancillary fee increases to be effective September 01, 2019 in accordance with the government tuition limit policy.

CARRIED

7.2 Investment policy and guidelines

Cheryl Eason reported that the Investment Policy approved by the Board in December 2018 is presented with revisions for approval, along with new Investment Governance Guidelines. Approval of the revised policy and guidelines will provide the foundation for management to

develop a Strategic Investment Portfolio Plan that will be brought to the Board for approval at a future meeting.

MOTION (Chan/Birney)

That the Board of Governors approves the Investment Policy and the Investment Governance Guidelines.

CARRIED

Break – 11:53 a.m. to 12:02 p.m.

8. Report from the Program and Research Council

The President reported that in the fall of 2018 the Program and Research Council (PRC) met with the chairs of the school advisory councils for a fruitful discussion that included topics such as engagement with associate faculty, program revisions and the relationship of Academic Council to PRC.

8.1 Approval of the 2019/20 Academic Plan

The President commented on the importance of the university's operating plan but noted its purpose is to support of the academic mission of the institution as articulated in the Academic Plan. The President reported that PRC had discussed the Academic Plan in depth, focusing on key aspects, including: enrolment projection; opportunities for laddering programs; organization of the academic portfolio; and pathways for indigenous students.

The Board asked for an update on the status of the university's work to strengthening indigenous content in academic programming and indigenizing the campus. Management reported that work is in progress, including creating an indigenization strategy that is currently being circulated within the university community for feedback, and that more effort is required. Management will bring a strategy to the Board later in the year.

Steve Grundy reported that a framework for program approvals is also being developed and will be brought to the Board. The objective of the framework is to streamline approval processes that are within the purview of the university.

The Board commended management on the quality of the academic plan.

MOTION (Chan/Hwitsum)

That the Board of Governors approves the 2019/20 Academic Plan.

CARRIED

9. Report from Governance and Nominating Committee

Lydia Hwitsum has agreed to serve as vice-chair of the Governance and Nominating Committee for 2019/20.

10. Committee assignments

Kathleen Birney reported recommended David Black for assignment to the Program and Research Council and Geoff Pearce to the Governance and Nominating Committee.

MOTION (Donaldson/Chan)

That the Board of Governors approves the following committee assignments effective 01 April 2019 for a 1-year period:

- *Geoff Pearce to the Governance and Nominating Committee*
- *David Black to the Program and Research Council*

CARRIED

CONSENT AGENDA

11. Approval items

None.

12. Information items

12.1 Minutes of 08 March 2019 meeting of the Program and Research Council

13. Adjournment – 12:24 p.m.

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BOARD OF GOVERNORS

BRIEFING NOTE



MEETING:	19 June 2019
AGENDA ITEM:	New Program – Graduate Certificate in Management and Leadership
SPONSOR:	Philip Steenkamp, Chair, Program and Research Council
PURPOSE:	For Approval

Consistent with its terms of reference, Program and Research Council recently reviewed a new program proposal and recommends that the Board of Governors approve of the Graduate Certificate in Management and Leadership as a new program.

Approval Process

Full program proposal reviewed and approved by:

- RRU Executive – 22 January 2019
 - Curriculum Committee – 16 April 2019
 - Academic Council – 8 May 2019
 - Program and Research Council – 30 May 2019
-

Summary:

This 9-credit graduate certificate is for mid- to senior-level professionals working in organizations in all sectors who wish to expand their knowledge, skills, strategies, and expertise in the area of leadership and management. The aim of the certificate is to equip professionals in management and leadership positions with graduate-level applied and theoretical expertise at an individual, team and organizational level. This Graduate Certificate will be delivered by Professional and Continuing Studies (PCS) to corporate clients and other external organizations. It is unlikely that it will be delivered on RRU's campus.

Anticipated launch date:

It is proposed that the revised program be introduced for offsite delivery in November 2019

Enrolment:

While it is possible this credential may never be offered in entirety (from start to finish) at RRU, it has potential for off-site delivery, both domestically and internationally. We are projecting an initial (minimum) enrolment of 15 students at UNBC in the Winter of 2019/20 (dates to be determined) which could turn into an annual offering.

Financial Analysis:

The financial impacts to implementing the Graduate Certificate in Management and Leadership program are minimal. Delivery of this program will make use of available courses and wherever possible make use of a shared delivery model.

Development and launch funding is unnecessary as all of the courses within the program currently exist and are actively being used in other programs. Additionally, as it is expected to be delivered through partnerships or other organizational relationships, there are no marketing or recruitment costs.

Tuition rates:

Tuition is recommended to be in alignment to the MBA program. Based on the approved rates effective September 2019 that works out to \$853.53 per credit and \$7,681.77 for the full certificate. Using comparable tuition rates to current graduate certificate programs across RRU and current program delivery costs, the table below highlights the minimum enrolment numbers required. Alignment to the MBA tuition rate supports the stand-alone delivery model when necessary.

Sensitivity				
Program Tuition				
- anticipated September 2019 rates	\$6,320	\$6,530	\$7,680	\$9,370
Rate Per Credit	\$702.22	\$725.56	\$853.33	\$1,041.11
Enrolment levels needed to cover:				
Direct Costs	4	3	3	2
Direct Costs + Estimated Overhead	5	5	4	3
Minimum 50% Contribution Margin	40+	40+	18	9
* \$6,320 aligns the rate per credit to the majority of graduate degrees including the MSc Management, MA Leadership and MA Professional Communication				
* \$6,530 is aligned to the Grad Certs in Project Management and Strategic Human Resources Management				
* \$7,680 is aligned to the Grad Certs within the MBA program				
* \$9,370 is aligned to the Grad Certs in Organization Design and Development, Workplace Innovation, Change Management and Corporate Social Innovation				

Fit to Strategic Direction:

The creation of a Graduate Certificate in Management and Leadership will directly assist the University to achieve enrolment, revenue targets, and community engagement. As RRU is a special purpose university according to its legislative mandate, this program is a natural fit given the current trends in business and organization development and will further validate that RRU is market responsive and operates in a competitive, dynamic market-place.

There is also a clear alignment and opportunity to advance our three overarching institutional strategic research themes: 1) learning and innovation, 2) thriving organizations, and 3) sustainable societies and communities. The work completed by the students as well as the engagement of faculty in this work would be another indication of the University's support and commitment to these themes.

The full program proposal is available on request.

MOTION: That the Board of Governors approve the Graduate Certificate in Management and Leadership as a new program.

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BOARD OF GOVERNORS

BRIEFING NOTE

MEETING:	June 19, 2019
AGENDA ITEM:	Program Approval Framework
SPONSOR:	Philip Steenkamp - Chair, Program and Research Council
PURPOSE:	For approval

Subsequent to recent discussions at Program and Research Council and the Board of Governors, a review of program development processes has resulted in a proposed change to approval processes. At its May 30, 2019, meeting, Program and Research Council recommended the following changes to the program approval framework to the Board for approval.

BACKGROUND

Consistent with the Academic Programs Policy, all new degree, diploma and certificate programs are approved through procedures determined by Academic Council before recommendation to the Board of Governors. Pursuant to section 48(2) of the *University Act*, all new degrees are subject to approval by the Minister of Advanced Education, Skills and Training (MAEST). Additionally, all changes to existing degree, diploma and certificate programs are approved through procedures determined by Academic Council before recommendation to the Board.

Royal Roads University develops programs consistent with its mandate to be responsive to the labour market needs of British Columbia. In order to achieve this, the university often introduces certificate and diploma programs to test market demand for potential degree programs, and to meet the needs of potential students who seek a credential relevant to their professional and personal goals, but are unable or uninterested in pursuing a degree. Additionally, the university offers short programs that align with professional associations and are transferrable into degree programs.

In 2017, the university underwent a Quality Assurance Process Audit, administered by the Degree Quality Assessment Board (DQAB). The objectives of the audit included ascertaining whether the university continues to meet the requirements of the DQAB's guidelines for exempt status and degree programs. The review panel found RRU to be "exemplary in its attention to ongoing quality assurance directly tied to its mandate, mission and values. The Assessors were very impressed with the diligence and care Royal Roads University extends to the academic quality of its programs and courses."

PROPOSAL

All certificate and diploma programs are aligned with the university's mandate and are either embedded in existing or proposed degree programs, or are transferrable into degree programs. As a result, the same standards for program design and delivery apply to certificates, diplomas and degrees. In addition, all degree programs are subject to external review on a regular basis which informs revisions to curriculum. In order to

support the university's ability to respond to labour market trends, feedback on program design, and demands for short programs, a change to program approval processes is proposed:

- All new certificate and diploma programs are approved by Academic Council.
- All new certificate and diploma program tuition rates are set within the framework established by the Pricing Committee and consistent with rates in existing certificate and diploma programs.
- All new certificate and diploma program tuition rates are reviewed and approved by the Executive Committee prior to Academic Council review.
- All program revisions for certificates, diplomas and degrees are approved by Academic Council.

No other changes are proposed to program approval or quality assurance practices, including:

- All new certificate, diploma and degree program proposals are reviewed by Executive Committee and Curriculum Committee prior to review by Academic Council.
- All new degree program proposals are reviewed by Academic Council and Program and Research Council for recommendation to the Board.
- All program revisions for certificates, diplomas and degrees are reviewed by Executive Committee and Curriculum Committee prior to review by Academic Council.
- All program admission and progression requirements are approved through procedures as determined by Admissions Committee.
- External program reviews are regularly scheduled consistent with the Academic Quality Assurance and Academic Programs Policies.

Proposed Framework

Credential	Current Approver New/Revised Programs	Proposed Approver New Programs	Proposed Approver Program Revisions	External Program Review
Undergraduate Certificates & Diplomas	Board of Governors	Academic Council	Academic Council	<ul style="list-style-type: none"> • Embedded: Included in degree external review • Stand alone: As required by VP Academic
Graduate Certificates & Diplomas	Board of Governors	Academic Council	Academic Council	<ul style="list-style-type: none"> • Embedded: Included in degree external review • Stand alone: As required by VP Academic
Undergraduate Degree	Board of Governors*	Board of Governors*	Academic Council	Conducted every 5-7 years
Graduate Degree	Board of Governors*	Board of Governors*	Academic Council	Conducted every 5-7 years
Doctoral Degree	Board of Governors*	Board of Governors*	Academic Council	Conducted every 5-7 years

*All new degrees subject to MAEST approval

NEXT STEPS

- Upon Board approval of the proposed changes, a revision to the Academic Programs Policy will be submitted to Academic Council for approval.
- Upon Board approval of the proposed changes, revised Program and Research Council terms of reference will be reviewed by the Governance and Nominating Committee for recommendation to the Board.

MOTION: That the Board of Governors approve the proposed changes to the program approval framework.

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FINANCE & AUDIT COMMITTEE

BRIEFING NOTE



MEETING: JUNE 4, 2019

AGENDA ITEM: STRATEGIC INVESTMENT PORTFOLIO PLAN – 1st READING

SPONSOR: CHERYL EASON, VICE PRESIDENT & CHIEF FINANCIAL OFFICER

PURPOSE: APPROVAL

BRIEF DESCRIPTION

The purpose of this briefing note is to:

- a) Review the current investing strategy and investment performance for Royal Roads University (RRU) and Royal Roads University Foundation (RRUF);
 - b) Provide some additional investing options for the investment portfolios managed by the external manager, TD Waterhouse Wealth Management Group (TD Wealth); and
 - c) Present a draft outline of the Strategic Investment Portfolio Plan (SIPP).
-

BACKGROUND

Investment Objectives

The investment objectives of the University and the Foundation as outlined in the Investment Policy differ from each other and are outlined below.

University

The primary objectives of the investment of assets for the University are to ensure that funds are invested to meet:

- a) Short term liquidity requirements (generally within one year for regular operations or other planned spending initiatives);
- b) Medium term requirements to finance the University's capital and revenue investments (generally within one to five years for future operating or capital project commitments); and
- c) Long term requirements for investments to exceed the target real rate of return, within acceptable risk levels (generally where funds are not to be expended in the next five years).

Foundation

The primary objectives of the investment of assets for the Foundation are to ensure that funds are invested to meet:

- a) Preservation of capital in real terms; and
- b) Generation of sufficient annual cash flow to meet foundation disbursement objectives.

As a charity, the Foundation has a legal obligation to disburse a minimum of 3.5% of its average assets on charitable activities each year.

Current Investments

The RRU investment portfolio includes investments held with TD Wealth and funds held with the Provincial Central Deposit Program (CDP). As at March 31, 2019, these balances were \$37.0M and

\$14.2M respectively. The RRUF investment portfolio is managed by TD Wealth and was \$10.0M as at March 31, 2019.

Investment Returns Compared to Prior Year and the Benchmarks

Both the RRU and RRUF investment portfolios achieved higher returns than the prior year for the 1-year, 3-year and since inception time frames. The 3-year returns, 5-year returns and returns since inception exceeded the benchmark for the RRU and RRUF investment portfolios, indicating value added by the external manager over the long term. Appendix One provides more detailed information on the actual rates of returns compared to the prior year and the benchmarks.

The increased returns for all time frames resulted from recoveries in the equity and bond markets and a higher weighting in equities in RRUF's investment portfolio. The approved asset mix for RRU and RRUF has remained unchanged since February 2015. The current asset mix for RRU includes cash and fixed income whereas for RRUF, the current asset mix includes cash, fixed assets and equity.

RRU's CDP funds earned 2.06% compared to 1.54% in the prior year. The province-held funds paid 1.95% per annum for the first quarter of the year, 2.2% per annum for the second quarter of the year and has been paying 2.45% per annum since October 2018. The rates earned in the CDP account continue to be higher than those that could be earned if the funds were transferred to CIBC's Premier Investment Account (an account with similar liquidity) and therefore, the university will continue to use the provincial CDP for cash surpluses based on liquidity requirements and the interest rate earned by the fund.

Social Responsibility Investing

Currently, the RRU and RRUF investment portfolios exclude companies in the alcohol and tobacco industries. However, the RRU and RRUF investment portfolios do not exclude any particular company based on an event or incident that has occurred related to environmental, social and corporate governance (ESG) criteria. However, the university's *Investment Governance Guidelines* requires the external manager(s) to provide annual reporting to allow the Board to assess the investment portfolios in terms of ESG.

TD Wealth uses a tool called Sustainalytics to provide ESG Risk Ratings to help investors identify and understand financially material ESG risks at the security and portfolio level. Category 4 (high) indicates there was an event that had a high impact on the environment and society, posing significant risk to the company, often reflecting structural problems in the company. Category 5 (severe) indicates there was a severe impact on the environment and society, posing serious risk to the company, representing the most egregious corporate behavior. TD Wealth will continue to monitor investment holdings against ESG criteria using Sustainalytics and on a quarterly basis, report back to management on any holdings with an incident rated category 4 or 5 and in accordance with policy, work with the VP&CFO to make the necessary adjustments.

Management is exploring the feasibility of an ESG type fund as an option for donors wishing to donate on that basis.

KEY CONSIDERATIONS

Requirements for Development of SIPP

At the March 29, 2019 meeting, the Board approved a revised *Investment Policy* that references *Investment Governance Guidelines* (IGG) and a SIPP. Management agreed to bring additional investing options forward for review and develop the SIPP based on the strategy approved by the Board.

Investment Portfolio Considerations

Increase in equity allocation

Recommendations for changes to the investing strategies for the RRU and RRUF investment portfolios have been provided by TD Wealth external manager Todd Vaughan as outlined below. The introduction of a target equity allocation for RRU and a higher equity allocation for RRUF represents a higher risk profile which will result in higher volatility but should result in higher returns over the long run. Based on the Committee's review of the CAUBO December 2017 survey at the October 2018 meeting, RRU and RRUF's investment portfolios' target allocations to equities (0% and 40% respectively) were substantially lower than other universities (60%), including universities with a similar level of funds invested and RRU and RRUF's resulting returns were significantly lower.

Additional supporting rationale for increasing the equity allocation at this time has been provided by the external manager as follows:

- The federal reserve's move from a tightening bias to an accommodative bias on interest rates will ultimately move equity markets higher in the medium term as low rates of return in cash and fixed income move investors into equities and other higher risk assets;
- The book value basis of the Canadian equity market is at/or near market lows indicating an undervaluation in that market. Over the longer term, this undervaluation will disappear offering a 40-50% higher valuation for patient long term strategies; and
- Allowing a higher allocation to international/emerging markets equities increases the diversification in the portfolios.

Ranges and Mandate

The widening of the minimum and maximum ranges and the move from a combination of discretionary and non-discretionary management to a discretionary mandate will provide the external manager to make more timely decisions when managing the portfolios.

Risk/Return Profile

Each of the three options provided (status quo, option 1 and option 2) has a different level of risk associated with achieving the expected returns. The likely variance is expressed in terms of standard deviations. Statistically, the expected returns would be:

- Within 1 standard deviation of the expected return approximately 68% of the time or 2 years out of every 3 years; and
- Within 3 standard deviations from the expected return over the long run (i.e., in worst case scenarios as experienced in 2001 and 2008).

The decision of the investment portfolios depends on the Board's risk tolerance levels.

Investment Strategy Options

RRU

Three options are presented for the RRU investment portfolio:

- Status Quo option does not include an equity allocation whereas Options 1 and 2 introduce a target equity allocation of 20% and 30% respectively.
- Both Options 1 and 2 include:
 - widening the minimum and maximum ranges for each asset class;
 - setting maximum exposure to non-Canadian currency;
 - setting equity mandates to US and international or emerging markets; and
 - moving from a non-discretionary mandate to a discretionary mandate for a negotiated fee of 35 basis points.

For the RRU investment portfolio, the likely variances based on standard deviations would be:

RRU INVESTMENT PORTFOLIO			
Options	Expected Return	One Standard Deviation	Three Standard Deviations
Status Quo	2.68%	+/- 1.02%	+/- 3.06%
Option 1	4.00%	+/- 3.81%	+/- 11.43%
Option 2	4.09%	+/- 3.96%	+/- 11.88%

For the RRU portfolio, Options 1 and 2 show significant increases in the expected returns and the likely variance in expected returns as follows:

RRU INVESTMENT PORTFOLIO				
ASSET MIX				
Asset Type	Target	OPTIONS		
		Status Quo	Option 1	Option 2
Cash	Target	10%	5%	5%
	Range	0 – 20%	0 – 30%	0 – 30%
Fixed Income	Target	90%	75%	65%
	Range	75 – 100%	55 – 85%	50 – 75%
Equity	Target	0%	20%	30%
	Range	0%	10 – 30%	20 – 40%
Expected Annual Rate of Return		2.68%	4.00%	4.09%
Standard Deviation		1.02%	3.81%	3.96%
Investment Exposure Limits and Durations				
Maximum Exposure to Single Entity		5% single entity or 3% bond holding		
Maximum Equity Exposure to Non-Canadian Currency		Not applicable	50%	50%
Equity Mandate to US Holdings		Not applicable	35%	35%
Minimum Credit Rating		BBB	BBB	BBB
Duration		Current 4.05 years. Not to exceed 5 years	Not greater than average of Total Return Universe Bond Index (currently 7.66 years)	Not greater than average of Total Return Universe Bond Index (currently 7.66 years)
Composite Benchmarks				
FTSE Canada Universe Bond Index		45%	75%	65%
FTSE TMX Canada 91-day T-Bill Total Return Index		55%	5%	5%
S&P 500 Total Return Index		-%	10%	15%
S&P TSX Composite Total Return Index		-%	8%	12%
MSCI EAFE (Europe, Australia & Far East) US\$ Total Return Index		-%	2%	3%
Composite Benchmark*		100%	100%	100%

*Based on target Geographical Breakdown for Equities noted in exposure limits (i.e. 50% Canadian, 35% US and 15% International)

RRU Foundation

Three options are presented for the RRU Foundation investment portfolio:

- the Status Quo option includes an equity allocation of 40% whereas Options 1 and 2 increase the target equity allocation to 50% and 60% respectively.
- Both Options 1 and 2 include:
 - widening the minimum and maximum ranges for each asset class;
 - increasing the maximum exposure to non-Canadian currency;
 - increasing the equity mandates to international/emerging markets; and
 - moving from a non-discretionary and discretionary mandate to a full discretionary mandate for a negotiated fee of 35 basis points (consistent with current fees charged).

For the RRU Foundation portfolio, the likely variances based on standard deviations would be:

RRUF INVESTMENT PORTFOLIO			
Options	Expected Return	One Standard Deviation	Three Standard Deviations
Status Quo	4.65%	+/- 4.37%	+/- 13.11%
Option One	4.86%	+/- 4.67%	+/- 14.01%
Option Two	5.20%	+/- 4.98%	+/- 14.94%

For the RRUF investment portfolio, Options 1 and 2 show moderate increases in the expected returns and slight increases in the likely variance in expected returns as follows:

RRU FOUNDATION INVESTMENT PORTFOLIO				
ASSET MIX				
Asset Type	Target	Options		
		Status Quo	Option 1	Option 2
Cash	Target	10%	5%	5%
	Range	0 – 20%	0 – 30%	0 – 30%
Fixed Income	Target	50%	45%	35%
	Range	40 – 60%	40 – 70%	20 – 40%
Equity	Target	40%	50%	60%
	Range	30 - 50%	25 – 65%	45 – 75%
Expected Annual Rate of Return		4.65%	4.86%	5.20%
Standard Deviation		4.37%	4.67%	4.98%
Investment Exposure Limits and Durations				
Maximum Exposure to Single Entity		5% single entity or 3% bond holding		
Maximum Equity Exposure to Non-Canadian Currency		47%	50%	50%
Equity Mandate to US Holdings		40%	35%	35%
Equity Mandate to International or Emerging Markets		10%	15%	15%
Minimum Credit Rating		BBB	BBB	BBB

Duration	Current 4.05 years. Not to exceed 5 years	Not greater than average of Total Return Universe Bond Index (currently 7.66 years)	Not greater than average of Total Return Universe Bond Index (currently 7.66 years)
Composite Benchmarks			
FTSE Canada Universe Bond Index	55%	45%	35%
FTSE TMX Canada 91-day T-Bill Total Return Index	5%	5%	5%
S&P 500 Total Return Index	16%	20%	24%
S&P TSX Composite Total Return Index	20%	25%	30%
MSCI EAFE (Europe, Australia & Far East) US\$ Total Return Index	4%	5%	6%
Composite Benchmark*	100%	100%	100%

*Based on target Geographical Breakdown for Equities noted in exposure limits (i.e. 50% Canadian, 35% US and 15% International)

RECOMMENDATIONS

Based on the review of the RRU and RRU Foundation investment portfolios, management asks that the committee consider the outlined options for the RRU and RRU Foundation investment portfolios. Based upon the feedback from the committee and recommendation for approval of the investment portfolio option, the SIPP document (attachment 1) will be updated to reflect the selected investment strategy.

MOTIONS

- 1) THAT THE FINANCE AND AUDIT COMMITTEE RECOMMENDS APPROVAL TO THE BOARD OF GOVERNORS OF THE ADOPTION OF OPTION FOR THE INVESTMENT STRATEGY FOR RRU
- 2) THAT THE FINANCE AND AUDIT COMMITTEE RECOMMENDS APPROVAL TO THE BOARD OF GOVERNORS OF THE ADOPTION OF OPTION FOR THE INVESTMENT STRATEGY FOR RRUF
- 3) THAT THE FINANCE AND AUDIT COMMITTEE RECOMMENDS APPROVAL TO THE BOARD OF GOVERNORS OF THE ADOPTION OF FORMAT FOR THE STRATEGIC INVESTMENT PORTFOLIO PLAN

Attachment

4.1 Strategic Investment Portfolio Plan

APPENDIX ONE

ANNUAL RATES OF RETURN AGAINST PRIOR YEAR BENCHMARKS

RRU Investment Portfolio

The RRU investment portfolio returns as at March 31, 2019 compared to March 31, 2018 were as follows:

	1-year Return	3-year Return	5-year Return	Return from Inception
As of March 31, 2019	2.42%	2.14%	2.23%	2.91%
As of March 31, 2018	1.46%	1.82%	2.26%	2.87%
Change	0.96%	0.32%	(0.03%)	0.04%

The RRU investment portfolio achieved the following returns against the benchmark:

	1-year Return April 1, 2018 – March 31, 2019	3-year Return April 1, 2016 – March 31, 2019	5-year Return April 1, 2014 – March 31, 2019	Return from Inception December 15, 2009 – March 31, 2019
Net performance	2.42%	2.14%	2.23%	2.91%
Benchmark performance	3.46%	1.44%	1.87%	2.51%
Value added	(1.04%)	0.70%	0.36%	0.40%

The TMX 100% Short Term Overall Bond Index continued to be the benchmark for the RRU investment portfolio. The benchmark performance improved during the year due to a recovery in the fixed income markets. Over the longer term, the actual performance of the investment portfolio has exceeded the benchmark; however, due to a 40% GIC weighting, the 1-year return was under the benchmark.

RRU Foundation Investment Portfolio

The RRUF investment portfolio returns as at March 31, 2019 compared to March 31, 2018 were as follows:

	1-year Return	3-year Return	5-year Return	Return from Inception
As of March 31, 2019	4.95%	5.06%	4.28%	6.05%
As of March 31, 2018	1.03%	3.46%	4.48%	4.95%
Change	3.92%	1.60%	(0.20%)	1.10%

The investment portfolio for RRUF achieved the following returns against the benchmark:

	1-year Return April 1, 2018 – March 31, 2019	3-year Return April 1, 2016 – March 31, 2019	5-year Return April 1, 2014 – March 31, 2019	Return from Inception December 15, 2009 – March 31, 2019
Net performance	4.95%	5.06%	4.28%	6.05%
Benchmark performance	4.80%	5.02%	3.94%	5.94%
Value added	0.15%	0.04%	.34%	.11%

The Balanced Income 3 Fund¹ continued to be the benchmark for the RRUF investment portfolio. The benchmark performance improved substantially during the year due to a recovery in the equity and bond markets. The actual performance of the investment portfolio exceeded the benchmark slightly for all time frames, indicating the external manager added value.

¹ Composite of: 55% FTSE Canada Universe Bond Index, 5% FTSE TMX Canada 91-day T-Bill Index, 30% S&P/TSX Composite Total Return Index, and 10% S&P/TSX Canadian Preferred Share Index

Proposed Strategic Investment Portfolio Plan

PORTFOLIO FUND: ROYAL ROADS UNIVERSITY

Fund Management

- Externally managed by TD Waterhouse Wealth Management Group (“TD Wealth”)

Level of Discretion Granted to External Manager

- Discretionary management on all accounts

Eligible Investments

Strategic Asset Class	Eligible Investments
Cash and Cash Equivalents	<ul style="list-style-type: none"> • Government of Canada treasury bills, notes, debentures and any obligations unconditionally guaranteed by the Federal Government of Canada; • Treasury bills, notes, debentures and any other obligations unconditionally guaranteed by a provincial government of Canada; • Municipal notes, debentures and any obligations guaranteed by a municipal government of Canada; • Highly rated foreign government treasury bills, notes, debentures and any other obligations guaranteed by a foreign government; • Highly rated Banker’s Acceptance, Certificates of Deposits and other instruments issued by a Canadian or foreign bank; and • Highly rated commercial paper and corporate bonds of Canadian and foreign corporations.
Fixed Income Instruments	<ul style="list-style-type: none"> • Canadian Government, real return bonds, provincial and municipal bonds, corporate securities (including the debt of corporations, supranational agencies and municipal entities whether domiciled inside or outside Canada, in developed countries), sovereign bonds from developed countries, preferred stock.
Equities	<ul style="list-style-type: none"> • Common stock and equivalents traded on Canadian, US or international markets stock exchanges

Prohibited Investments

- Companies in the alcohol and tobacco industries

ROYAL ROADS UNIVERSITY PORTFOLIO Cont'd

Asset Mix			
Asset Type	Target	Target Range	
		Min.	Max.
Cash	xx%	xx%	xx%
Fixed Income	xx%	xx%	xx%
Equity	xx%	xx%	xx%
Expected Annual Rate of Return			xx%
Standard Deviation			xx%
Investment Limits			
Maximum Exposure to Single Entity		Single Entity or	xx%
		Bond Holding	xx%
Maximum Equity Exposure to Non-Canadian Currency			xx%
Equity Mandate to US Holdings			xx%
Minimum Credit Rating			xxx
Duration not to Exceed			xx%
Composite Benchmarks			
FTSE Canada Universe Bond Index			xx%
FTSE TMX Canada 91-day T-Bill Total Return Index			xx%
S&P 500 Total Return Index			xx%
S&P TSX Composite Total Return Index			xx%
MSCI EAFE (Europe, Australia & Far East) US\$ Total Return Index			xx%
Composite Benchmark*			100%

*Based on target Geographical Breakdown for Equities noted in exposure limits (i.e., 50% Canadian, 35% US and 15% International)

PORTFOLIO FUND: ROYAL ROADS UNIVERSITY – CDP

Fund Management

- Provincial Central Deposit Program (CDP)

Eligible Investments – Cash and Cash Equivalents

- Government of Canada treasury bills, notes, debentures and any obligations unconditionally guaranteed by the Federal Government of Canada;
- Treasury bills, notes, debentures and any other obligations unconditionally guaranteed by a provincial government of Canada;
- Municipal notes, debentures and any obligations guaranteed by a municipal government of Canada;
- Highly rated foreign government treasury bills, notes, debentures and any other obligations guaranteed by a foreign government;
- Highly rated Banker's Acceptance, Certificates of Deposits and other instruments issued by a Canadian or foreign bank; and
- Highly rated commercial paper and corporate bonds of Canadian and foreign corporations.

Asset Mix and Expected Annual Rate of Return

Asset Mix	100% allocation to Cash and Cash Equivalents
Expected Annual Rate of Return	2.0%

PORTFOLIO FUND: ROYAL ROADS UNIVERSITY FOUNDATION

Fund Management

- Externally managed by TD Waterhouse Wealth Management Group (“TD Wealth”)

Level of Discretion Granted to External Manager

- Discretionary management on all accounts

Eligible Investments

Strategic Asset Class	Eligible Investments
Cash and Cash Equivalents	<ul style="list-style-type: none">Government of Canada treasury bills, notes, debentures and any obligations unconditionally guaranteed by the Federal Government of Canada;Treasury bills, notes, debentures and any other obligations unconditionally guaranteed by a provincial government of Canada;Municipal notes, debentures and any obligations guaranteed by a municipal government of Canada;Highly rated foreign government treasury bills, notes, debentures and any other obligations guaranteed by a foreign government;Highly rated Banker’s Acceptance, Certificates of Deposits and other instruments issued by a Canadian or foreign bank; andHighly rated commercial paper and corporate bonds of Canadian and foreign corporations.
Fixed Income Instruments	<ul style="list-style-type: none">Canadian Government, real return bonds, provincial and municipal bonds, corporate securities (including the debt of corporations, supranational agencies and municipal entities whether domiciled inside or outside Canada, in developed countries), sovereign bonds from developed countries , preferred stock
Equities	<ul style="list-style-type: none">Common stock and equivalents traded on Canadian, US or international markets stock exchanges

Prohibited Investments

- Companies in the alcohol and tobacco industries

ROYAL ROADS UNIVERSITY FOUNDATION PORTFOLIO cont'd

Asset Mix			
Asset Type	Target	Target Range	
		Min.	Max.
Cash	xx%	xx%	xx%
Fixed Income	xx%	xx%	xx%
Equity	xx%	xx%	xx%
Expected Annual Rate of Return			xx%
Standard Deviation			xx%
Investment Limits			
Maximum Exposure to Single Entity		Single Entity or	xx%
		Bond Holding	xx%
Maximum Equity Exposure to Non-Canadian Currency			xx%
Equity Mandate to US Holdings			xx%
Minimum Credit Rating			xxx
Duration not to Exceed			xx%
Composite Benchmarks			
FTSE Canada Universe Bond Index			xx%
FTSE TMX Canada 91-day T-Bill Total Return Index			xx%
S&P 500 Total Return Index			xx%
S&P TSX Composite Total Return Index			xx%
MSCI EAFE (Europe, Australia & Far East) US\$ Total Return Index			xx%
Composite Benchmark*			100%

*Based on target Geographical Breakdown for Equities noted in exposure limits (i.e., 50% Canadian, 35% US and 15% International)

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MEETING: JUNE 4, 2019
AGENDA ITEM: WEB PRESENCE RENEWAL PROJECT BUSINESS CASE
SPONSOR: CHERYL EASON, VICE PRESIDENT & CHIEF FINANCIAL OFFICER
PURPOSE: APPROVAL

BRIEF DESCRIPTION OF AGENDA ITEM

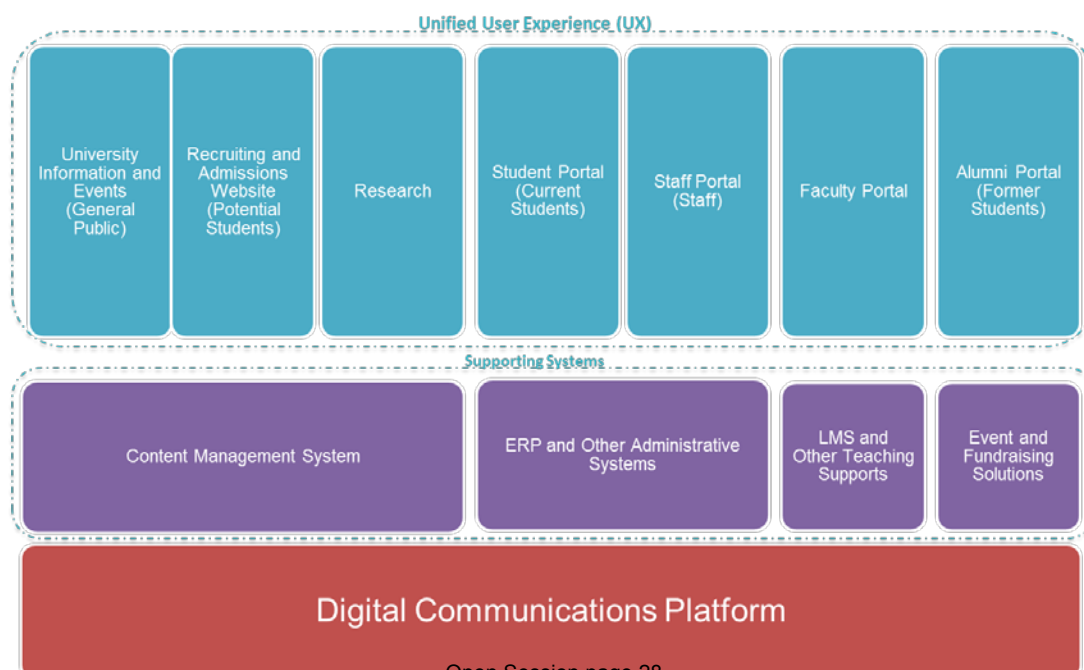
The purpose of this briefing note is to:

- provide background information on Royal Roads University's Web Presence Renewal project as a core component of Digital Communications Platform (DCP) program,
 - outline key considerations core to the proposed web presence renewal project, and
 - recommend approval to proceed with the web presence renewal project.
-

BACKGROUND

What is the "Digital Communications Platform" (DCP)?

The DCP is an RRU integrated digital platform which includes solutions and tools that support the full lifecycle of enterprise digital communications needs, allowing stakeholders to receive information in their preferred way, on their preferred device. Rather than a single website, the new platform would ultimately be an integrated collection of solutions (conceptually illustrated below), tied together through common user interface (UX), branding, content management strategies, and most importantly, governance. The Web Presence Renewal Project focuses on revitalizing the RRU website as a core element of the DCP, taking a "platform" approach that allows the university to focus the conversation on how to incrementally adopt new designs and methods of reaching users through new technologies, tools and approaches to communications.



RRU's strategy is to use a digital presence and to present its brand to the world through several digital avenues and outlets. A significant avenue is the RRU corporate website. The website is used to communicate with and serve a broad range of stakeholders including enrolment prospects, applicants, students, alumni, faculty, staff and the public at large. Uses include:

- Marketing RRU to prospective students, supporting both recruiting and admissions activities
- Providing staff with an internal portal which hosts various documents and forms such as “source of truth” on policies, data and forms as well as access to support services and information from various departments across RRU
- Enabling training and support activities to faculty
- Serving as an entry point for students to access a range of systems and services including the learning management system (Moodle)
- Providing a platform for hosting research
- Offering an engagement platform for alumni
- Functioning as a primary source of information for the public on RRU and events

The university's existing website has grown over time to encompass this broad range of functions and when the current iteration was originally implemented in the 2010-2012 era, it was designed with a focus on the desktop internet browser experience. Since this website implementation, the common user experience and expectations have changed significantly, now focused on mobile and tablet platforms for access to information. Given changing trends, the existing website design and structure no longer supports the university's needs. The lack of mobile support has become increasingly critical as the university is losing potential students due to the inability to obtain information in this desired manner.

Business Case Development

During the last quarter of 2018/19, Royal Roads engaged MNP LLP to facilitate the development of a business case for the renewal of the university's website under the umbrella of the DCP program. This business case has been prepared and vetted by management. A summary-level version of the case is attached for the Committee's review.

KEY CONSIDERATIONS

Objectives

Upon final Board approval of the business case, the university will move to execute on the website project to achieve the following objectives:

- Attract more student enrolment applications by providing better access to information about RRU and academic programs on mobile devices
- Increase enrolments (and conversion rates) through improved communications during the admissions process
- Enhance the student and employee experience and productivity by providing consistent online access to information, services and support
- Grow alumni engagement by providing more opportunities to stay connected
- Maintain the university's reputation as a digitally forward-thinking institution
- Improve and simplify the university's digital platform ongoing support and maintenance through providing content owners better access and ability to self-manage content and information

Options Presented in the Business Case

The business case presents the following two options for completing the renewal of RRU's website presence, with the recommendation to implement option 1: Internally Sustainable Timeline

	Option 1	Option 2
Description	Internally Sustainable Timeline <ul style="list-style-type: none">• RRU would roll out new websites in a phased approach with a dedicated project team, with most work being performed by internal resources in combination with some external resources providing specific expertise or augmenting internal capacity	Accelerated Timeline <ul style="list-style-type: none">• RRU would roll out new websites in a phased approach with a dedicated project team, with more work being performed by external resources than in option 1• Project phases would be more tightly overlapped with multiple parallel streams
Timeline	<ul style="list-style-type: none">• Replacement of the core website in 17 months• All websites replaced within 43 months	<ul style="list-style-type: none">• Replacement of the core website in 15 months• All websites replaced within 37 months
Cost	<ul style="list-style-type: none">• The cost to replace the core website would be \$2.0M• The cost to replace all websites would be \$4.0M	<ul style="list-style-type: none">• The cost to replace the core website would be \$2.2M• The cost to replace all websites would be \$4.4M

Key Risks

In the business case, management has identified key risks associated with a large-scale website presence renewal project, including:

- Preliminary estimates are not accurate, and project requires additional funding
- Project is delayed or derailed due to inability to reach consensus or agreement on key decisions
- RRU is unable to release internal staff to participate on the project
- RRU project staff do not have the required skills for project
- Website content is not ready for launch or it is of poor quality
- Only partial funding is available
- Content platform or website do not comply with privacy legislation
- Content platform or website are security risk
- Users do not have the required skills to use the website toolset
- New website is not maintained

The detailed business case includes a comprehensive discussion of risk and outlines plans to mitigate them.

Financial Impact

RRU has invested approximately \$75K (fiscal 2018/19) to develop the initial website business case. A placeholder of \$600K has been included in the approved 2019/20 capital plan to begin developing the DCP. Based on the business case, an estimated investment of \$1.5M is required for fiscal 2019/20. The total estimated cost of the project over four fiscal years (from July 2019 to January 2023) is \$4.0M.

The chosen option is anticipated to reduce the annual operational costs for the website environment by as much as \$150K to \$200K annually as the duplication of effort between IT and content owners in managing content is eliminated. Additional non-monetary benefits are outlined in the Expected Benefits section of the business case.

To address this financing gap, RRU has submitted a project funding request to the Ministry of Advanced Education and Skills Training (MAEST) for additional funds to support this initiative; approval is pending.

NEXT STEPS

The project is ready to advance to detailed implementation planning. With support from the project team, management is positioned to finalize all elements of the project plan and mobilize initial work with a view to optimizing the university's investment and current year capital allocations, and at the same time, manage the potential for increased development costs.

It is expected that design work will advance efficiently, with more detailed project estimate data in hand, and a proposed financing plan in negotiation with the province, management is moving to finalize the review of the project business case and confirm government funding.

RECOMMENDATION

In consideration of the detailed review of the university's current website capability, management's recommendation is for the Committee to approve the business case (Attachment 4.1) for the Web Presence Renewal Project as a core component of the overall DCP program.

MOTION

THAT THE FINANCE AND AUDIT COMMITTEE RECOMMENDS APPROVAL TO THE BOARD OF GOVERNORS THE BUSINESS CASE AS PRESENTED IN ATTACHMENT 4.1.

Attachment

5.1 RRU Web Presence Renewal Project Business Case



Business Case

Royal Roads University Web Presence Renewal Project

Digital Communications Platform Program

June 4, 2019

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1.0 Background

Royal Roads University (RRU) uses a digital presence and strategy to present its digital brand to the world through several digital avenues and outlets. A significant avenue is the RRU corporate website. The website is used to communicate with and serve a broad range of stakeholders including enrolment prospects, applicants, students, alumni, faculty, staff and the public at large.

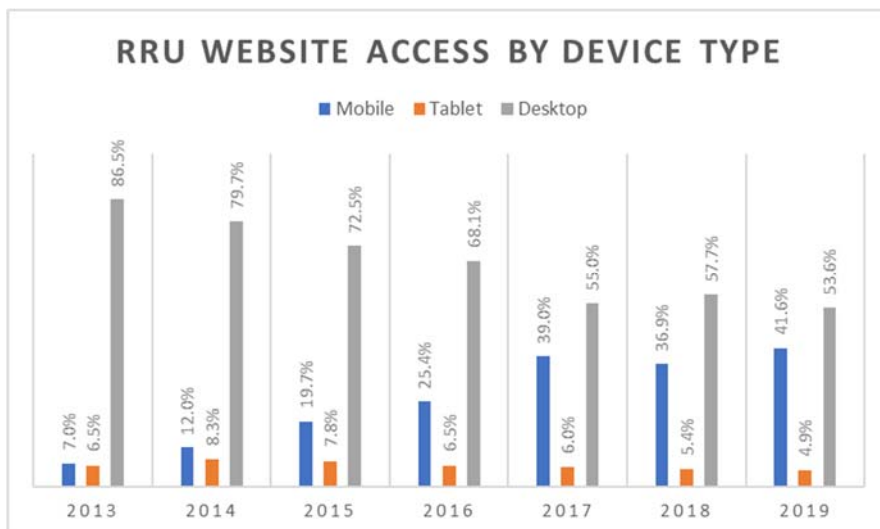
Uses include:

- Marketing RRU to prospective students, supporting both recruiting and admissions activities
- Providing staff with an internal portal which hosts various documents and forms such as “source of truth” on policies, data and forms as well as access to support services and information from various departments across RRU
- Enabling training and support activities to faculty
- Serving as an entry point for students to access a range of systems and services including the learning management system (Moodle)
- Providing a platform for hosting research
- Offering an engagement platform for alumni
- Functioning as a primary source of information for the public on RRU and events

The existing website has grown over time to encompass this broad range of functions and when originally implemented back in the 2010-2012 era, was designed with a desktop internet browser experience in mind. Since the website implementation, the common user experience and expectations have changed significantly toward a mobile and tablet platform for obtaining information. Given these changing trends, the existing website design and structure no longer support the university’s needs. This lack of mobile support has become increasingly critical as RRU is losing potential students due to the inability to obtain information in the desired manner.

As the diagram to the right illustrates, the increase in mobile phone use has had a negative impact on RRU’s website traffic; the bounce rate¹ for mobile devices is 54.87%. 18.89% higher than for visitors using desktops or tablets.

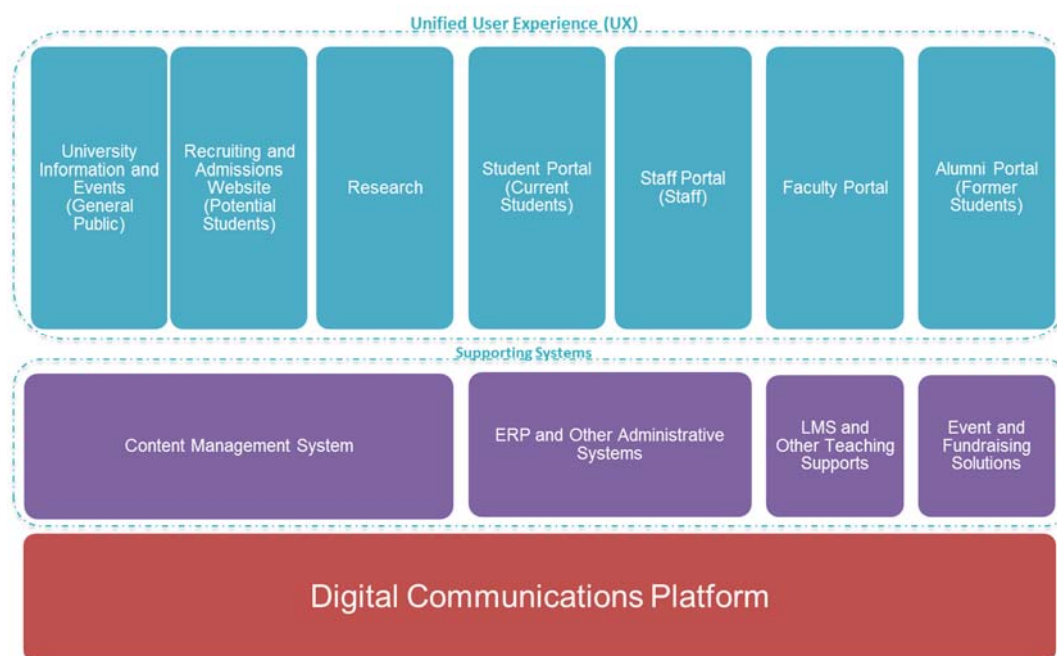
To properly support Royal Roads’ long-term growth strategy, an appropriate dedicated Digital Communications Platform (DCP) program and governance framework is required to address the complexity of RRU’s digital communications requirements.



¹ A website “bounce rate” is the percentage of site visitors who, after entering a website, leave without viewing any additional content.

2.0 Project Proposal

The Web Presence Renewal Project detailed in this document focuses on revitalizing the RRU website as a core element of the digital communications platform. The project takes a “platform” approach that allows the university to focus the conversation on how to incrementally adopt new designs and methods of reaching users through new technologies, tools and approaches to communications. Rather than a single website, the new platform would ultimately be an integrated collection of solutions (conceptually illustrated below), tied together through common user interface (UX), branding, content management strategies, and most importantly, governance.



This renewal will include:

- Establishing web governance and workflows;
- Architecting the institution’s web presence to provide consistent navigation, nomenclature, and information structures;
- Migrating web content to externally hosted infrastructure to reduce risk of infrastructure failure; and
- Developing a content strategy and providing departments with training and support for content creation.

When complete, the renewal will have replaced all existing RRU websites and target benefits include:

- Provide a more engaging experience to all users;
- Help potential students find the information and assistance they need to enrol in studies;
- Improve the learning, work, and engagement of current students, staff, and alumni by providing a consistent launch pad to access the tools they need;
- Enable departments to manage site content creation and maintenance with little or no day-to-day involvement from IT services;
- Reduce cyber security and stability risks; and
- Support the rapid adoption of new technologies and technical support models.

Aligned with Royal Roads strategic anchors, the web presence renewal project supports the university's direction to:

- Grow, diversify and continuously improve the quality of domestic and offshore programs in support of labour market demand.
- Be the university of choice for relevant and applied and professional high-quality, high-value education and research providing continuous opportunities to learn and transform lives and careers.
- Provide technology that allows the university to offer innovative and efficient IT services and support to transform Royal Roads' use of technology and its distinct learning and teaching in support of its unique and quality educational programs.

3.0 Project Scope

The project scope includes:

- The design and implementation of a website governance model with supporting content management processes;
- The procurement and installation of an enterprise class CMS platform, including technical and end-user training;
- The creation of enterprise user experience and information architecture for the web environment;
- The creation of website design standards and templates, based on the current RRU brand standards; and
- The migration or creation of all websites and sub-sites currently maintained by Information Technology Services (ITS) within RRU's existing CMS environment.

The following items are out of scope:

- Migration of websites currently being maintained by Centre of Teaching & Educational Technologies (CTET) on the WordPress CMS platform;
- Migration of temporary sites where the reason for the site no longer exists (e.g., 2017 leadership conference); and
- Replacement of web pages provided by business applications (e.g., IT Help Desk, HR). A subsequent project may be initiated to update the interface design of these applications to be consistent with the interface adopted by this project.

4.0 Expected Benefits

Some of the benefits expected from this project include:

- Improved student experience through consistency of templates and rationalization of web pages and links;
- Improved student service experience as students will be able to access services from any device;
- Decrease in user "bounce" rates from the website;
- Seamless user experience between other web portals (student information system in particular);
- Increased student recruitment success;
- Improved website navigation;
- Improved search optimization;

- Attract more student enrolment applications by providing better access to information about RRU and academic programs;
- Increase enrolments (and conversion rates) through improved information and communications during the admissions process;
- Enhance the student and employee experience and productivity by providing consistent online access to information, services and support;
- Improvement in information flow, and corresponding increases in staff question response time;
- Grow alumni engagement by providing more opportunities to stay connected through the updated web platform;
- Maintain the university's reputation as a digitally forward-thinking institution
- Savings in business staff time due to efficiency in design and mounting of web pages (freeing up time for enhanced content management);
- Faster update roll outs;
- Faster posting times for new educational offerings (critical for high change/short turnaround areas such as Professional and Continuing Education);
- Increased accuracy of information;
- Critical to cloud migration (partial realization of benefits from cloud strategy);
- Reduced Cyber security risk;
- Reduced service downtime;
- Decreased deployment time for other system projects (requiring web interaction); and
- Increased visitors to campus — as tourists will have improved access information about the campus history and attractions.

During the planning phase, the project team will develop a benefits realization framework. Benefits realization reporting will be incorporated into status reporting to senior leadership and the board. Benefits will begin to be realized with the first site roll outs: anticipated to be October 2020.

5.0 Options Analysis

RRU determined that updating and revitalizing the existing site and infrastructure would be as or more difficult than creating a new instance and updating or creating new content. Therefore, RRU discarded the option to update the existing site or use the existing infrastructure.

RRU considered two potential approaches:

- Option 1: Renew RRU Web Presence with an internally sustainable timeline
- Option 2: Renew RRU Web Presence with an accelerated timeline

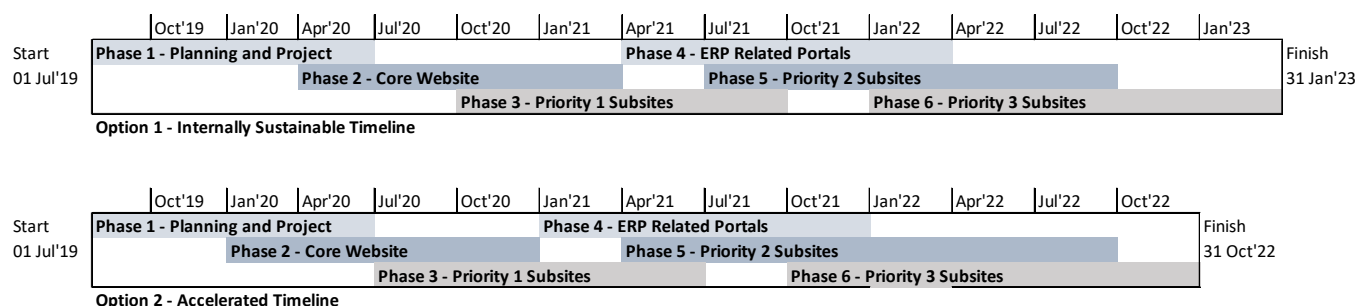
Both options include developing new information architecture, user experience, and site design through an external design firm and reusing as much existing web material as practical. Option 2 investigated the ability to reduce the project timeline through additional resources and more aggressively overlapping implementation streams.

5.1 Overview of Criteria and Comparison of Options

Criteria	Option 1 Internally Sustainable Timeline	Option 2 Accelerated Timeline
Core website should be replaced as quickly as possible without sacrificing quality of website or sustainability of the environment.	Maybe <ul style="list-style-type: none"> The extended timelines are moderately aggressive but recognize the reality of how quickly the institution is likely to be able to make decisions and complete work. Timeline would deliver the core website replacement in under 18 months. 	Maybe <ul style="list-style-type: none"> Completes replacement of core website slightly sooner (2 months) and shortens overall timeline by 3 months Over emphasis on project schedule increases risk of quality or scope cuts to meet artificial deadlines
Project should support the development of internal capabilities and capacity.	Yes <ul style="list-style-type: none"> Greater opportunity for staff to develop new skills and for RRU to expand its capacity to manage digital communications. 	No <ul style="list-style-type: none"> More work to be performed by external resources and emphasis on schedule will reduce opportunities for RRU to build skills and capacity.
Timelines must accommodate the university's business cycle and availability of subject matter experts and other stakeholders.	Yes Longer timelines and less emphasis on meeting artificial deadlines will allow the project to accommodate stakeholder schedules.	No Greater degree of phase overlap may create scheduling conflicts for stakeholders. Accelerated timeline has not included schedule slack to accommodate vacations and busy times for stakeholders.
The CMS functionality should be tightly aligned with the requirements of the university's business areas	Yes Provides RRU with an opportunity to confirm requirements and take an objective look at what is available in the market	Maybe Provides RRU with an opportunity to confirm requirements and take an objective look at what is available in the market although proposed timelines may not allow for full CMS functionality review across all platform options
The CMS platform should allow non-technical staff to create and maintain web content based on branded templates and editorial guidelines with minimal to no support from ITS	Yes An objective procurement process could include this requirement as mandatory criteria for selection. There are many CMS products available to meet this criterion	Yes An objective procurement process could include this requirement as mandatory criteria for selection. There are many CMS products available to meet this criterion
The CMS platform should minimize risk of technology or security	Yes While it is impossible to completely mitigate the risk of software failure,	Yes While it is impossible to completely mitigate the risk of software failure,

Criteria	Option 1 Internally Sustainable Timeline	Option 2 Accelerated Timeline
failure; upgrades, patches and security updates for the CMS environment should be provided by one vendor	it is easier to maintain a CMS environment where it is only necessary to deal with a single vendor, who is contractually obligated to provide upgrades, patches and technical support. Availability and quality of technical support can be an area of evaluation that is heavily weighted in the assessment of CMS options.	it is easier to maintain a CMS environment where it is only necessary to deal with a single vendor, who is contractually obligated to provide upgrades, patches and technical support. Availability and quality of technical support can be an area of evaluation that is heavily weighted in the assessment of CMS options.
The CMS platform should be able to support the rapid adoption of new technologies and integrations	Yes By going to market and evaluating the range of CMS vendor options, RRU will be able to select a vendor that has a track record and commitment to continually improving their platform and supporting their clients' adoption of new capabilities. Evaluation criteria can include assessment of platform against current trends in CMS functionality, defined roadmap, level of annual development investment and experiences of reference clients.	Yes By going to market and evaluating the range of CMS vendor options, RRU will be able to select a vendor that has a track record and commitment to continually improving their platform and supporting their clients' adoption of new capabilities. Evaluation criteria can include assessment of platform against current trends in CMS functionality, defined roadmap, level of annual development investment and experiences of reference clients.

5.2 Options Project Schedules



5.3 Project Costs

Phase/Activity	Option 1	Option 2
<i>Phase 1 - Planning & Foundation Setup</i>	\$ 1,079,900	\$ 1,108,250
<i>Phase 2 - Core Website Renewal (Corporate, School/Program/Faculty)</i>	\$ 530,170	\$ 662,920
<i>Phase 3 - Priority 1 Sub-Site Renewal (10 sites - Library, Continuing Studies)</i>	\$ 412,460	\$ 441,710
<i>Phase 4 - ERP Related Portals (Est. Sept 2020 start)</i>	\$ 318,950	\$ 363,950
<i>Phase 5 - Priority 2 Sub Site Renewal (20 medium sized sites)</i>	\$ 226,525	\$ 253,525
<i>Phase 6 - Priority 3 Sub Site Renewal (20 small or transitory sites)</i>	\$ 215,275	\$ 216,025
<i>Project Management, Communications and Reporting - Overlapping phases</i>	\$ 1,221,000	\$ 1,395,000
Project Totals	\$ 4,004,280	\$ 4,441,380

5.4 Recommended Solution

Consideration of the two options against the seven criteria demonstrates that **Option 1, Internally Sustainable Timeline**, offers the best potential to meet these criteria and successfully deliver the program. Option 1 allows for a realistic approach to the program delivery given the conflicting priorities of all departments and the ability for the RRU organization to absorb the amount of change that will be incurred with this program. The incremental cost of \$400,000 to reduce the timeline by three months was also considered too expensive compared to the benefit.

The business owner for the project is RRU's Marketing division, in close collaboration with Enterprise PMO, Communications and ITS. The program will engage all stakeholders from across the institution. The project team will consist of both internal leadership and subject-matter experts, supported by external consultants who will provide expertise as required.

6.0 Financial Analysis

Renewing RRU's web presence will be a multi-year initiative that will see the redesign of all RRU websites currently supported by ITS. The preliminary project plan proposes a multi-phased roll out of new websites over an approximately 3.5-year duration. By staggering roll outs, RRU will be able to maintain a core project team continuously during the timeline.

Assuming the entire project is funded and delivered, the estimated total cost for this project is \$4.04 million.

6.1 Total Cost of Ownership

A summary of the project cost estimates by fiscal year is as follows:

Phase/Activity	2019/20	2020/21	2021/22	2022/23	Total
<i>Phase 1 - Planning & Foundation Setup</i>	\$ 1,079,900	\$ -	\$ -	\$ -	\$ 1,079,900
<i>Phase 2 - Core Website Renewal (Corporate, School/Program/Faculty)</i>	\$ 75,000	\$ 455,170	\$ -	\$ -	\$ 530,170
<i>Phase 3 - Priority 1 Sub-Site Renewal (10 sites - Library, Continuing Studies)</i>	\$ -	\$ 392,570	\$ 19,890	\$ -	\$ 412,460
<i>Phase 4 - ERP Related Portals (Est. Sept 2020 start)</i>	\$ -	\$ 75,793	\$ 243,157	\$ -	\$ 318,950
<i>Phase 5 - Priority 2 Sub Site Renewal (20 medium sized sites)</i>	\$ -	\$ -	\$ 211,045	\$ 15,480	\$ 226,525
<i>Phase 6 - Priority 3 Sub Site Renewal (20 small or transitory sites)</i>	\$ -	\$ -	\$ 87,020	\$ 128,255	\$ 215,275
<i>Project Management, Communications and Reporting - Overlapping phases</i>	\$ 340,744	\$ 340,744	\$ 340,744	\$ 198,767	\$ 1,221,000
Project Totals	\$1,495,644	\$1,264,278	\$901,856	\$342,502	\$4,004,280

6.2 Ongoing Operations Costs

Cost Type	Cost	Comments
Internal Staff	\$ 215,000	.5 FTE Administrator, 1 FTE developer, .5 Integration Analyst, .25 FTE Manager = 2.25 FTE.
Software - CMS	\$ 50,000	Maintenance or annual subscription fees
Software - Search	\$ 10,000	Based on current search costs
Consulting	\$ 50,000	For additional vendor support, content strategy, graphic design, or SEO advice.
Total Annual Operating Cost	\$ 325,000	

6.3 Funding Sources

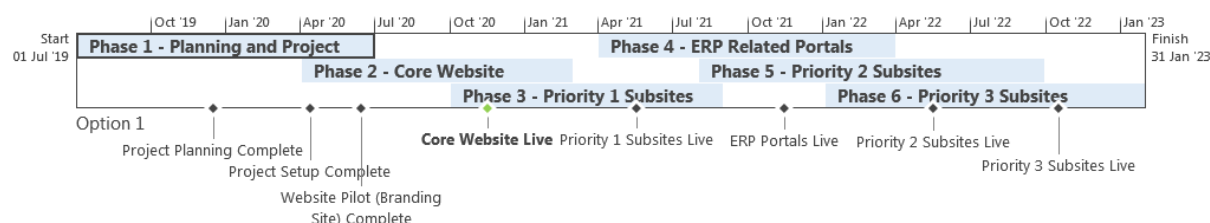
The project costs of \$4.0 m would be a capitalized asset and funded from the accumulated surplus of the university. Estimated 2019/20 funding of \$1.5 m is required - \$600,000 is available in the approved 2019/20 operating plan and the remaining \$0.9 m is being requested from the Ministry of Advanced Education; approval is pending. RRU Board approval to proceed will be requested and follow up on additional funding from the Ministry will continue.

6.4 Return on Investment

The chosen option is anticipated to reduce the annual operational costs for the website environment by as much as \$150K to \$200K annually as the duplication of effort between IT and content providers in managing content is eliminated. Additional non-monetary benefits are outlined in the Expected Benefits section.

7.0 Timelines

The planned phases of the project are as follows:



Website roll out has been broken into five groupings, with the following targets:

Phase	Group	Includes	Website Go Live Target
2	Core Website	Includes the corporate website, and websites associated with each of the “schools”. Some current subsites may be integrated into core corporate website.	November 2020
3	Priority 1 Sub Sites	Sub-sites for high priority services areas. Includes the Library, Continuing Studies, Crossroads, Advancement and International areas.	May 2021
4	ERP Related Portals	Launch sites providing consolidated services to students, staff and faculty, tied into new ERP systems. Timelines will be dependent of timing of ERP projects – have tentatively scheduled to start	November 2021
5	Priority 2 Sub Sites	Sub-sites for Research, Centres and other second priority areas of the institution.	March 2022
6	Priority 3 Sub Sites	Final group of websites to be transitioned, may include additional research, academic resources or similar sites.	October 2022

7.1 Implementation Strategy

By staggering the roll out of RRU websites the project can:

- Prioritize web pages related to recruiting and admissions for earlier completion;
- Balance resource demands so that the core project team can be kept engaged for the duration of the project; and
- Allow for deferred budget approval for later phases should the board and executive wish to initially fund only part of the project.

The proposed groupings are for planning purposes; prioritization of websites and assignment to a roll out phase will be confirmed during the planning phase.

7.2 Project Resourcing

For RRU to be successful in transforming its online presence, it will require the sustained effort of a core project team. This team would consist of a combination of internal staff who would be assigned to the project on a full-time basis and contracted or term resources who would be engaged to

augment with specific skills. In order to dedicate the key internal resources, the renewal project will fund departmental backfill positions.

During the planning phase, specific resource requirements will be established, and potential internal team members will be identified and confirmed. The project will work with HR and the affected departments to develop an organization-wide plan for transitioning staff members on and off the project team.

8.0 Risk Management Assessment

Risk	Mitigation
Preliminary estimates are inaccurate / project requires additional funding.	<ul style="list-style-type: none"> Review and validate the project estimates at the completion of the planning phase prior to commencing implementation activities. It is recommended that preliminary budget for this initiative include a 15-25% contingency.
Project is delayed or derailed by inability to reach consensus or agreement on key decisions.	<ul style="list-style-type: none"> The DCPI initiative will establish governance committee that will provide leadership and decision-making for this project with the authority to make appropriate decisions on behalf of the university.
RRU is unable to release internal staff to participate on the project.	<ul style="list-style-type: none"> Development of an approach that will allow staff to be assigned to the project on a full-time basis; Recognizing that staff assigned to the project cannot continue to fulfil the duties of their regular position; and Establishment of a resource plan early in the planning phase to allow departments and HR to work through the process of back-filling positions.
RRU project staff do not have the required skills for project.	<ul style="list-style-type: none"> Conduct a skills evaluation as part of the resource planning in the first phase to identify skill deficiencies, and train staff as needed Engage external expertise to develop internal capabilities; Recognize that staff will be learning and make allowances in work assignment and scheduling; and Evaluate staff skill development throughout the project; be prepared to provide additional supports where necessary.
Website content is not ready for launch or it is of poor quality	<ul style="list-style-type: none"> Budget for dedicated content writers to directly manage writing priorities, quality, and delivery deadlines.
Only partial funding is available	<ul style="list-style-type: none"> An alternative scope has been developed that would allow the project to replace the content management system and deliver the core website only for \$2.2M.
CMS platform or website does not comply with privacy legislation	<ul style="list-style-type: none"> Incorporate privacy requirements into the CMS evaluation Complete a privacy impact assessment and privacy compliance/risk assessment for the CMS, Hosting, and other components prior to contract execution
CMS platform or website are a security risk.	<ul style="list-style-type: none"> Include security requirements into the CMS evaluation Acquire a part-time security analyst as part of the core team Review security compliance/risk prior to approval

Risk	Mitigation
	<ul style="list-style-type: none"> • Conduct a strategic risk and threat assessment prior to contract execution
CMS users do not have the required skills to use the CMS.	<ul style="list-style-type: none"> • Project approach has incorporated training for both technical and business users of the CMS. Project has also anticipated a need for post-launch support and has planned for additional training and support during the three months following each roll out.
New website is not maintained	<ul style="list-style-type: none"> • Implement a new CMS product that will make it easier for non-technical resources to maintain and update site content; • Reduce dependence on ITS support; • Develop a sustainment strategy that will define expectations for content updates and assign specific responsibilities; and • Develop website reporting that will identify content/page age and assist the marketing team in monitoring the timeliness of content.

9.0 Next Steps

Management welcomes the Committee's feedback on the proposed option and business case for the web presence renewal project. Upon approval of the business case, the project team would be mobilized, and the project would immediately advance to detailed implementation planning.

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MEETING: JUNE 4, 2019

AGENDA ITEM: ENTERPRISE RESOURCE PLANNING PROGRAM CONCEPT PAPER

SPONSOR: CHERYL EASON, VICE PRESIDENT & CFO

PURPOSE: APPROVAL

BRIEF DESCRIPTION OF AGENDA ITEM

The purpose of this briefing note is to:

- a) provide background information on Royal Roads University's Enterprise Resource Planning (ERP) program;
 - b) outline key considerations related to a potential ERP renewal program; and
 - c) obtain approval to proceed with next steps in the development of a business case and multi-year implementation plan.
-

BACKGROUND

What is an "ERP System"?

An ERP system is a suite of business process management software that enables an organization to integrate core business applications and functions to manage and automate many processes underpinning its core business. In an educational institution, the ERP typically consists of student, course, financial and human resources data and processes. The ERP provides a consistent environment to manage all courses and program pricing; staff, faculty, associate faculty and student data; financial transactions and reporting; all in a central, integrated suite of systems.

RRU's ERP System

RRU's ERP system includes the student management system, core financial applications (accounting and payroll), and human resource applications (recruitment and employee performance evaluation). The current student information system and financial application were implemented in the mid-2000s and are licensed Unit4 products. The Avanti system is used for payroll processing and HRSmart is used for recruitment and employee performance evaluation.

The existing student information systems and financial application have been highly customized over their lifespan to support RRU's unique business model. Many components of the core functionality have not been implemented at RRU. Unit4 has developed new modules in its financial, payroll and human resource applications which were not previously available.

In 2016, Unit4 announced that the company would be retiring the legacy student management system and introducing a new, cloud-hosted product suite for student management. Given the vendor's direction, in early 2017, the university initiated a project to investigate options to replace the student management application. In 2018/19, RRU determined that the new Unit4 Student Management (U4SM) system would be the best option for the student management replacement with base functionality meeting more than 80% of the requirements identified by the university.

RRU's financial services and planning staff have performed process reviews in many key areas and investigated additional Unit4 financial modules. Based on this work, they have determined that Unit4 continues to be a robust financial application which will meet RRU's needs in the future.

During the investigation, the teams confirmed that in order to obtain the full benefits of implementing a new U4SM system, changes are required to the financial application. Additional opportunities also exist to leverage current usage and significantly improve efficiency by implementing additional core functionality in the financial and payroll modules.

Management is confident that the Unit4 ERP suite will provide the best value and meet RRU requirements for an integrated ERP solution. From a sector point of view, BCNet supports Unit4 as an IT solution for post-secondary institutions. RRU is aware of peers who are currently implementing the full Unit4 suite (accounting, payroll and U4SM applications).

KEY CONSIDERATIONS

Key Objectives of the ERP Renewal Program

Investment in this renewal program will position the university to:

- Consistently and more easily manage the student experience through their full lifecycle
- Support expanding academic program delivery through a course-by-course approach, growing capacity from the program-based approach created when the university was first established
- Process and manage the international admissions process in a more consistent and integrated fashion
- Streamline the management and processing of operating and capital expenditures, utilizing workflow, procurement, contract and fixed asset management capabilities
- Implement tools to facilitate performance measurement, enhanced budgeting, forecasting and reporting currently performed manually with limited functionality
- Enhance internal controls over business processes and the safeguarding of assets
- Replace existing and aging systems with a new and more integrated suite to allow for simplification of business processes, improved university operations, and scalability for the future
- Manage change in a phased and deliberate manner to ensure the long-term and sustainable benefits of the overall investment

Scope of ERP Renewal Program

Based on the preliminary work done to date, RRU has determined that the scope of the ERP Renewal Program should include:

- a) Implementation of U4SM which would position RRU to consistently manage the full student lifecycle (from initial inquiry through the admission process, registration, program/course completion, and alumni status) and all individual courses and faculty resourcing (core and associate) attached to each program.
- b) Upgrades to and further implementation within the financial and core payroll application to improve financial transaction processing, payroll processing and maintenance of the general ledger; provide enhanced performance measurement, budgeting, forecasting and reporting capabilities; ensure a single source of truth for all organizational HR data which would facilitate the use of integrated toolsets to help streamline and improve the ERP usage.

- c) Potential replacement of HRSmart with Talent Management (Unit4 HR application for recruitments, assessments, performance, learning and training).

Financial Impact

A preliminary and high-level estimate of the multi-year investment required for a full ERP renewal is anticipated to be in the range of \$15.0M to \$16.0M. This figure is based on reviewing and validating ERP replacement programs within other post-secondary institutions. It is noted that this preliminary estimate is presented for discussion purposes; refinement of the scope and estimates will be prioritized during the work to fully develop the business case.

The university has included a placeholder of \$1.4M in the approved 2019/20 capital plan for this initiative. Further analysis of the business case and a proposed, multi-year financing plan is under development.

Key Risks

Management has identified a series of key risks associated with a large-scale ERP renewal program, including:

- RRU staff may not have experience implementing a large-scale ERP system
- RRU is unable to release internal staff when required
- RRU does not estimate the costs correctly resulting in cost overruns
- The selected vendor does not have availability to implement at RRU due to competing demands

Analysis of key risks and mitigation strategies will be refined during the development of the business case.

Business Case Development

Given the proposed scope of the ERP renewal program, as noted above a comprehensive business case will be required to assess implementation options, risks and benefits of the investment. Management will reflect on the following in the business case:

- Detailed scope description (U4SM modules, financial modules, HR components)
- Implementation approach (all at once, pilot, or phased)
- Infrastructure (cloud-based versus in-house server)
- Cost-benefit analysis
- Risk assessment
- Schedule and timelines of the implementation of the ERP system

Management is targeting the September 2019 Finance & Audit Committee meeting for the first reading of the business case. To facilitate the completion of the analysis and investigation of requirements for a multi-year implementation plan, management recommends deployment of \$400K of the investment anticipated in the approved 2019/20 capital plan.

RECOMMENDATION

Management has identified the need to further facilitate the work required to complete the business case analysis and preliminary design of the proposed ERP renewal program as the next steps with the Finance & Audit Committee. It is estimated that approximately \$400k would be required to prepare for the first reading of the business case with the Committee in September 2019. Management recommends this expenditure in advance of the more detailed discussion with the Committee.

MOTION

THAT THE FINANCE AND AUDIT COMMITTEE RECOMMENDS BOARD APPROVAL OF UP TO \$400K TO COMPLETE THE BUSINESS CASE ANALYSIS AND PRELIMINARY DESIGN OF THE PROPOSED ERP RENEWAL PROGRAM.

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FINANCE & AUDIT COMMITTEE

BRIEFING NOTE



MEETING: JUNE 4, 2019
AGENDA ITEM: LEARNING & TEACHING AUDITORIUM – QUARTERLY REPORT
SPONSOR: CHERYL EASON, VICE PRESIDENT & CHIEF FINANCIAL OFFICER
PURPOSE: CONSENT INFORMATION

BRIEF DESCRIPTION OF AGENDA ITEM

Quarterly update report on the Learning and Teaching Auditorium (LTA), a major capital project at Royal Roads University.

KEY CONSIDERATIONS

Attachment 14.1 provides the April 2019 Project Update for the LTA.

RECOMMENDATION

That the Finance and Audit Committee receives this report for information.

Attachment

7.1 Learning and Teaching Auditorium – Quarterly Report

**Major Capital (Infrastructure) Project:
Learning & Teaching Auditorium (LTA)**



April 2019 Project Update

Significant Progress & Developments			
Overall Status	Scope	Schedule	Budget
●	●	●	●
<p>With confirmation of Board of Governors approval of the project business case and DND approval, the launch of the LTA has mobilized as planned.</p> <p>As at 31 March 2019, project expenses totalling \$1.3M have been incurred. Total project costs will be offset by \$10.6M in government contribution: \$5.6M in provincial routine capital funding in addition to an expected certificate of approval valued at \$5.0M.</p> <p>Initial project activities have been primarily focused on mobilization of crews and remediation of hazardous materials inside the pool building; work is on track for the full scope of auditorium construction activities to begin during the second quarter of 2019/20.</p> <p>The university and project team continue to monitor the project risk landscape proactively and check in regularly as part of the project schedule. Currently there are no new risks or emerging issues to report.</p>			

Project Background, Scope & Schedule

The construction of the new LTA will transform and repurpose the decommissioned former pool building into a multi-purpose academic and presentation space. The LTA will include a 500-seat capacity auditorium, featuring two separate seating areas and an additional breakout space, creating a unique multi-use assembly and conference space. The LTA will not only help Royal Roads University meet its growing academic learning and teaching needs, but also establish the first major conference space in the West Shore. As a major renovation based at the site of a federally recognized heritage building, the LTA will combine tradition with innovation, providing new space for growth and advancement while utilizing the history of the building and grounds of Royal Roads.

Environmental sustainability and innovation is a key aspect of the LTA. The transformed LTA will benefit from an environmentally innovative geo-exchange energy system, which will have a positive impact on the university's targets for GHG emission reduction targets. The geo-exchange system will be put into place through a separate, interdependent project. Passive building design features will increase the energy efficiency of the LTA, further decreasing GHG emissions and reducing its reliance on traditional heating sources.

With Board of Governors approval to proceed confirmed in December 2018, the project team moved into the final stages of pre-construction planning and documentation, as well as facility preparation activities (e.g. hazmat remediation). A series of critical tenders will be issued during the period April through June 2019 and on-site construction activities will be fully mobilized during the second quarter of

2019/20. Project completion is targeted before the end of the third quarter of 2020/21. The intricacies of a detailed project schedule are being fine-tuned and coordinated.

A series of interdependent projects will be managed through the university's routine capital program (parking, impact on the Recreation Centre, the geothermal heating system, connection with the Sherman Jen Building).

Project Budget & Cash Flow Plan

As detailed in the project business case, the overall project budget was set at \$15.2M (including the \$1.5M investment in facility preparations approved by the Board of Governors in early 2018/19).

Consistent with discussions with the Ministry of Advanced Education, Skills & Training, the project financing plan includes a combination of government routine capital funding (\$5.6M), an expected additional capital grant specific to the project (\$5.0M), and RRU contributions (\$4.6M).

Government transfers of project funding will be based on reported expenditures and project cash flow estimates. To date RRU has accessed 2018/19 routine capital grant funds allocated to the project. Deployment of the university's contribution is anticipated later in the project.

RRU continues to work closely with Durwest to coordinate and monitor the many moving parts in the project completion schedule, financial reporting and preliminary planning related to the eventual transition to routine operations. The project financial forecast has been aligned with the schedule.

A summary of the updated project financial position and anticipated outcomes in relation to the financing plan is provided for information in Appendix A.

Risk Management

RRU has assessed this project as "low risk". The project is aligned with government priorities, the scope is understood, and the required financing has been confirmed.

While the university is not faced with a completion timeline like that imposed on the Sherman Jen Building project, RRU will keep a close watching brief on the execution of the project. The university and project team will monitor all project activities carefully to ensure that milestones set for the opening of the new LTA are not compromised.

The project risk landscape is reviewed with the Ministry through progress and financial reports. To date, no new issues have emerged that would have a negative impact on the project.

Project Reporting Activities

Discussions with the Ministry concerning progress reporting requirements as well as financial/cash flow reports are continuing. A project communications plan will guide both internal and external communications and engagement activities.

APPENDIX A

RRU LTA Project Cashflow Forecast as at 31 March 2019					
	Budget				
	Total Projected Costs	Actuals to 31 March 2019	Costs to Complete	2019/20	2020/21
Soft Costs	\$ 3,115,000	\$ 816,833	\$ 2,298,167	<i>Detailed Cashflow Forecast Under Development</i>	
Hard Costs	\$ 10,325,000	\$ 462,167	\$ 9,862,833		
Subtotal	\$ 13,440,000	\$ 1,279,000	\$ 12,161,000		
Project Contingency	\$ 1,727,000	\$ -	\$ 1,727,000		
Total	\$ 15,167,000	\$ 1,279,000	\$ 13,888,000	\$ 8,870,000	\$ 5,018,000

Note: Actuals to 31 March 2019 are 2018/19 fiscal year expenditures.

Definitions

Soft costs: includes (but not limited to) architectural and engineering fees; building, landscape and specialty consultant fees; insurance; project management fees and FF&E (furniture, fixtures and equipment)

Hard costs: includes (but not limited to) construction activities such as demolition and removal, excavation, concrete and reinforcing, security, construction management and supervisor costs

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BOARD OF GOVERNORS BRIEFING NOTE



MEETING:	Governance and Nominating Committee meeting, 04 June 2019 Board of Governors, 19 June 2019
AGENDA ITEM:	Review of Committee Terms of Reference
SPONSOR:	Bruce Donaldson, Chair of the Committee
PURPOSE:	For Decision

Discussion:

Annually, the Governance and Nominating Committee leads the Board's review of the terms of reference of its standing committees. In accordance with Board's established process each of the Board's standing committee reviewed their terms of reference to identify revisions to recommend to the Board for approval. The Finance and Audit Committee and the Governance and Nominating Committee each identified changes to recommend to the Board. The Program and Research Council did not identify any changes to recommend to the Board at this time.

The Governance and Nominating Committee also reviewed the Board Committee Structure document, which provides an over-arching framework for the Board's committee and provides direction to the committees on common matters such as the role of a committee chair, quorum, etc. The Governance and Nominating Committee does not recommend any changes to the Board Committee Structure document at this time.

Lastly, the Governance and Nominating Committee reviewed the terms of reference for the Standing Committee on Appeals and its associated procedures. No changes to either the terms of reference or procedures are recommended at this time.

The following documents are attached for the committee's review:

- **Appendix A:** Board Committee Structure document
- **Appendix B:** Governance and Nominating Committee terms of reference, with recommended amendments
- **Appendix C:** Finance and Audit Committee terms of reference, with recommended amendments

- **Appendix D:** Program and Research Council terms of reference
- **Appendix E:** Standing Committee on Appeals terms of reference and appeals procedures

Recommendation:

Recommended motion:

That the Board of Governors approves the revisions to the Finance and Audit Committee Terms of Reference and the Governance and Nominating Committee Terms of Reference as recommended and outlined in the briefing materials.

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BOARD OF GOVERNORS

BOARD COMMITTEE STRUCTURE

June 2018

AUTHORITY

Powers of the Royal Roads University Board of Governors are laid out in the *University Act*. Section 27(2)(c) empowers the Board “to appoint a secretary and committees it considers necessary to carry out the board’s functions...and to confer on the committees power and authority to act for the board.”

The Royal Roads University Board of Governors operates under a model of policy governance in which the Board as a whole sets policy and makes final decisions, and its committees undertake detailed study on behalf of the Board. Through policy, the Board also delegates some authority to the President, building in reporting mechanisms that ensure it can exercise its accountability.

The work of standing committees is to examine documents, receive presentations, and undertake such other activities necessary to satisfy themselves that the areas under their purview in the university are up to standard and then to report to and make recommendations to the Board as a whole. There are some exceptions to this, as reflected in individual committees’ terms of reference.

STANDING COMMITTEES

The Board of Governors has four standing committees:

- The Finance and Audit Committee
- The Governance and Nominating Committee
- The Program and Research Council
- The Standing Committee on Appeals

In addition, under the authority of the *University Foundation Act*, the Board of Governors appoints the members and the chair of the Royal Roads University Foundation (RRUF) Board of Directors. The RRUF Board of Directors reports to the RRU Board of Governors, the latter also comprising the membership of the RRUF.

Terms of Reference

The Board will annually review its committee structure to determine the number, type and terms of reference of its standing committees. Unless explicitly amended, the terms of reference in place for one fiscal year will continue into the next fiscal year. See attached terms of reference for all standing committees.

The Board may refer matters to any of its standing committees that are generally consistent with the purpose of the committee.

Appointment of Members

By resolution, the Board, on the recommendation of the Board Chair, will appoint the members and chairs of standing at least annually, or as required to accommodate new members.

Each governor is expected to serve on at least one standing committee.

The Chair of the Board is an *ex officio member* of all standing committees. By statute, the President is a member of all standing committees except standing committees on appeals (S.12(5) of the *RRU Act*).

Internal Members are those members who are employees or students of the university. External Members are those members who are neither employees nor students of the university.

In the event of a vacancy on a committee mid-year, the vacancy may go unfilled and the committee membership is deemed to be reduced by one unless the vacancy places a committee in contravention of a statutory provision or multiple vacancies render the conduct of business untenable. In that event, the vacancy will be filled by the Board on the recommendation of the committee chair.

Role of Committee Chairs

Each committee chair is responsible for:

- approving the agenda for each meeting;
- ensuring that the committee has the information it needs to make informed decisions and recommendations;
- chairing committee meetings in an efficient, effective and focused manner;
- setting the tone for the committee's work;
- ensuring that the committee fulfills its responsibilities in a timely fashion;
- reporting to the full Board on the committee's deliberations, decisions, and recommendations;
- assigning work to committee members as required
- annually, selecting a vice-chair.

Meetings

With the exception of the Standing Committee on Appeals, committees will meet at least quarterly. Each committee's annual meeting schedule will be synchronized to best meet its responsibilities, and will be approved by the Board prior to the beginning of each fiscal year. Additional meetings may be held at the call of the chair of the committee.

Meetings of the Standing Committee on Appeals will be held as cases come forward.

Committee meetings normally will be held in person, but may be held via teleconference or other electronic means at the discretion of the committee chair.

Committee meetings are not public; further, a brief portion of each meeting may be held *in camera*.

Unless otherwise indicated here or in terms of reference, committees will carry out their responsibilities as they see appropriate and with an eye to balancing the need for sufficient information to make informed decisions with the capacity of the institution to provide the information.

Support

The President is responsible for ensuring that adequate administrative and internal advisory support is available for each committee.

Unless otherwise provided for, committees may engage the services of external experts when deemed necessary to fulfill their responsibilities and may do so only with the prior approval of the Board of Governors.

Agendas

The secretary for each committee will prepare a draft agenda for each meeting, to be finalized in consultation with the committee chair and the member of the senior administration with responsibility for advising the committee.

The agenda and supporting materials (together, the 'agenda package') will ordinarily be distributed to committee members a week in advance of the scheduled meeting. Any governor may request a copy of the agenda or agenda package.

Every effort will be made to avoid 'walk ins' of agenda items and materials.

Attendance

All committee members are expected to attend committee meetings regularly.

Governors who are not members of a committee may attend committee meetings as non-voting participants.

Other than committee members and governors, the Board secretary, and a recording secretary, attendance is on an as required basis and subject to the approval of the committee chair.

Quorum

Quorum to conduct business at any committee meeting is a simple majority of the voting members of the committee (50%+1 in the case of committees with an even number of members).

Rules

The Board's *Code of Conduct and Conflict of Interest Guidelines* and *Charter of Expectations for Governors* apply to the conduct of all committee business.

The Board of Governors may adopt rules of order that would apply at committee meetings.

Reporting

Committees will report to the Board at the Board's next meeting, providing draft minutes and other materials as required for distribution in the Board's agenda package. Committee chairs will provide a verbal report, identifying key issues and relaying committee recommendations to the Board on behalf of the committee. Committee members normally are expected to support the committee's recommendations at the Board.

The recording secretary is responsible for keeping a record of meeting attendance, agenda packages and correspondence, and for preparing minutes of each meeting in consultation with the committee chair and the senior internal advisor to the committee. Any materials not included in the agenda package will be appended to the approved minutes.

Evaluation

Periodically, each committee will conduct a self-assessment of its effectiveness in relation to its terms of reference, and report the results of this evaluation to the Board through the standing committee with responsibility for governance matters.

TASK FORCES AND *AD HOC* COMMITTEES

From time to time, the Board of Governors may appoint task forces or *ad hoc* committees to undertake specific, time-limited work on behalf of the Board. In such cases, the Board will approve terms of reference that:

- define the task;
- identify reporting requirements and relationship to the Board of Governors;
- appoint the members and chair; and
- set the termination date for the body.

Meetings will be at the call of the appointed chair. Other provisions for standing committees will apply.

First approved by the Board of Governors: 16 October 2003
Reviewed and approved: 28 March 2008
17 June 2010
30 September 2011
21 June 2013
22 June 2015
24 June 2016
22 June 2018

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GOVERNANCE & NOMINATING COMMITTEE

TERMS OF REFERENCE

June 2018

PURPOSE

Under the *University Act*, the Board of Governors carries authority to, among other things: determine its own processes and committees; appoint the President and others; and provide for such distinctions as honorary degrees. The Governance & Nominating Committee assists the Board in the exercise of its governance, nominating, and executive oversight responsibilities.

MEMBERSHIP

There will be at least five members of the committee: the Chair of the Board, the President, and three or more members who shall be External Members (as defined in the Board Committee Structure document, namely members who are not employees or students of the university). The President is entitled to vote on all matters except those involving his or her annual goals, performance reviews, or compensation.

Whereas it is desirable for other members of the Board of Governors to attend committee meetings as observers, there may be discussion concerning agenda items that the Board or Governance & Nominating Committee Chair considers to be sensitive enough to warrant an *in camera* discussion and restrict attendance to Governance and Nominating Committee members. When possible, the intention to restrict attendance to portions of Governance & Nominating Committee meetings will be communicated to members of the Board of Governors before the meeting.

Members will be familiar with the [governance best practice guidelines available through the provincial Crown Agencies and Board Resourcing and Development Office's website *Best Practices Guidelines: BC Governance and Disclosure Guidelines for Governing Boards of Public Sector Organizations*](#).

RESPONSIBILITIES

1. Governance

- a. Ensure appropriate orientation of new governors; identify and plan opportunities for Board and governor development.
- b. In consultation with the Board secretary, ensure that governors have access to all documents relevant to the Board's responsibilities (in paper form or on-line).
- c. Design and administer a mechanism for the annual evaluation of the Board, report results to the Board, and recommend steps for continuous improvement. The evaluation shall include: an evaluation of Board effectiveness; an evaluation of the Board Chair & Chancellor's performance; and may include peer review or any other evaluations as deemed appropriate by the

committee. The intent of all assessment shall be Board development and improvement in Board operations.

- d. Ensure that a meeting evaluation is administered after each board meeting, the results anonymized and aggregated, and forwarded to the board chair. The chair of the committee shall ensure that appropriate systems are in place to administer the post-meeting evaluation.
- e. Annually, coordinate a review of the Board's committee structure and Standing Committees' terms of reference, seeking input from the Committees and recommending any changes to the Board.
- f. Keep abreast of emerging best practices and developments in governance and appropriately modify our processes.
- g. Ensure that the Board has an up-to-date code of conduct and conflict of interest guidelines, and advise the Board on how best to observe them.
- h. Lead the planning and development of the Board's annual retreat.
- i. Lead the development and annual review of the Board's Strategic Plan and recommend any changes to the Board.

2. Nominating

- a. Review the Board's Competency Matrix and Governor Role Profile from time to time and recommend revisions.
- b. Analyze the skills distribution within the current Board, identifying priority skills and abilities for pending vacancies in appointed positions on the Board. Identify candidates for Board-appointed and Order in Council vacancies, recommend nominees to the Board, and ensure that the process with respect to OIC appointments is followed.
- c. Periodically review and recommend revisions in the Chair and Chancellor's Role Profile and recommend candidate(s) to the Board for election as Chair and Chancellor as that position comes open from time to time.
- d. Periodically review and make recommendations on criteria for honorary degrees and the Chancellor's Community Recognition Award, consider nominations for these, and recommend suitable candidates to the Board for a pool of approved candidates from which the President may select honorees for specific Convocation ceremonies.

3. Presidential Oversight

- a. Review the President's annual goals and recommend them to the Board.
- b. Develop and administer a mechanism for the Board's late-term review of the President's performance.
- c. As appropriate and within government guidelines, make recommendations to the Board for any adjustments to the President's annual compensation.
- d. Monitor the President's succession planning at the executive level.

4. Policy

- a. Regularly review policies related to governance, Board honours, Presidential oversight and executive compensation, and make recommendations to the Board on revisions, additions, and deletions.

5. Human Resources – Employee Engagement

- a. Periodically monitor employee engagement and advise the Board on strategies to enhance its engagement with employees.

6. Responsibilities of the Committee Chair

- a. In addition to those duties assigned to committee chairs and described in the Board Committee Structure document, the Chair of the Governance and Nominating Committee shall act as lead director for the purpose of chairing a board meeting if the Board Chair is unavailable to chair a board meeting.
- b. The Committee Chair shall undertake an exit interview with members retiring or resigning from the Board of Governors.

Approved by the Board of Governors: 28 March, 2008
Reviewed and approved: 17 June 2010
30 September 2011
21 June 2013
22 June 2015
24 June 2016
15 December 2017
22 June 2018

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FINANCE & AUDIT COMMITTEE TERMS OF REFERENCE

Revised June 06 2018 for G&N
Committee review

PURPOSE

The Finance & Audit Committee assists the Board of Governors in providing strategic oversight to the management of the university's financial resources, meeting the fiscal responsibility required to ensure that RRU is a financially sustainable, high-performance organization.

The committee is responsible for ensuring that appropriate financial and asset management and accountabilities exist within the university, that the university's internal controls are sound, that risk management functions are performed competently, and that the university complies with pertinent legal, statutory and regulatory requirements.

MEMBERSHIP

There will be five or more members of the committee: the Chair of the Board, the President, and at least three members of the Board so that at least three of the members are neither employees nor students of the university. The President and any other internal governors are entitled to vote on all matters except those involving internal and external audit, and will not be present at *in camera* sessions with the auditors.

The majority of members shall be able to read and understand financial statements and presentations of a breadth and complexity comparable to those of the university. At least one member of the committee shall have an accounting designation or related financial management expertise.

RESPONSIBILITIES

1. Business Planning and Performance Measurement

- a. Consistent with the university's strategic [vision and](#) direction, review and recommend to the Board of Governors the university's five-year business plan and annual operating plan.
- b. Within the context of these plans, review and recommend to the Board [as necessary](#) business ~~plans cases (both academic and non-academic)~~, and ensure that ~~one-year~~ post-implementation evaluations are conducted.
- c. Review the university's quarterly performance to plan and forecast reports, ensuring that emerging issues and opportunities are being appropriately addressed by management.

- d. Review the university's annual institutional accountability plan and report and make recommendations to the Board prior to submission to the Ministry.
- e. Within the context of the Board investment policy, review the performance of investments for both the university and the RRU Foundation on at least an annual basis and as required.

2. Risk Management

- ~~a. Ensure that risk management functions are implemented effectively on an enterprise-wide basis. Through discussion with management, ensure that risk tolerance levels are assessed from a governance perspective and that major risk exposures (both financial and non-financial) are reviewed in relation to acceptable risk levels, and that management has taken to monitor and control such risks.~~
- ~~b.a. Ensure an effective enterprise risk management framework to be used consistently to monitor and report risk exposures and the effectiveness of mitigation activities and controls.~~
- ~~e.b. Review and approve the risk preferences and tolerances to achieve long-term sustainability.~~

3. External Audit

- a. Review and approve the external audit plan and scope of examination.
- b. Review with the external auditor the annual audited financial statements as well as any related letters, reports or recommendations submitted by the external auditor. Recommend the annual audited financial statements to the Board of Governors for approval.
- c. In consultation with management and the external auditors, review the integrity and adequacy of the university's internal control environment, to ensure that appropriate financial and asset controls and accountabilities exist and are operating effectively.
- d. Discuss annually with the external auditors all significant relationships that could impair the auditor's independence.
- e. Review annually the external auditors' performance and provide feedback to the external auditors.
- f. Periodically issue a request for proposals (RFP) for audit services, review proposals, and recommend the appointment of the external auditors, their remuneration and other terms of engagement to the Board.

4. Financial, Legal, and Regulatory Reporting

- a. Monitor the accounting principles and critical accounting policies adopted by management, including alternative treatments available for consideration.

- b. Monitor accounting provisions and estimates included in the financial statements to ensure the integrity of the financial statements.
- c. Ensure that RRU is compliant with current accounting and financial reporting practices, and with legal and regulatory requirements as they apply to the university.
- d. Review, and where appropriate approve, other relevant reports or financial information submitted to any government body or the public, including the management discussion and analysis and management certifications, prior to their release.
- e. On a quarterly basis, review reports pertaining to the status of legal matters and report to the Board.

5. Policy Review

- a. Regularly review Board policies that deal with financial matters, and recommend revisions, additions, and deletions to the Board of Governors.

6. Responsibilities of Chair

- a. In addition to those duties assigned to committee chairs and described in the Board Committee Structure document, the chair of the Finance and Audit Committee shall act as lead director for the purpose of chairing a board meeting if the Board Chair is unavailable and the first alternate, the Chair of the Governance and Nominating Committee, is unavailable.

Approved by the Board of Governors:
Reviewed and approved:

17 September 2010
29 June 2011
21 June 2013
22 June 2015

Reviewed and approved by Finance & Audit Committee:

14 March 2018

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PROGRAM & RESEARCH COUNCIL TERMS OF REFERENCE

June 2018

PURPOSE

The Program and Research Council supports the Board in discharging its senate responsibilities as assigned by The *Royal Roads University Act* and laid out in the *University Act*.

Per Section 14 of the *Royal Roads University Act*, the Program & Research Council advises the Board on instructional program and research priorities, program objectives and desirable learning outcomes. The Council assists the Board in meeting the university's mandate of offering certificate, diploma and degree programs in solely the applied and professional fields, providing continuing education, and maintaining teaching excellence and research activities that support the university's programs in response to the labour market needs of British Columbia (S. 2 of the *RRU Act*).

MEMBERSHIP

There will be at least eight members*, including the President and the Chair of the University's Academic Council. At least three of the members will be members of the Board of Governors and at least three will be external to the Board and to the University (External Members). As per Section 14 of The *RRU Act*, at least two-thirds of the members must not be employees of the university.

Per the *RRU Act*, the President is the chair.

**At least one member of the committee will be skilled in financial management sufficient to assess the financial viability of new program proposals.*

TERM

The term for External Members will normally be three years. The Board of Governors may renew the term for an External Member for a maximum term of six years.

RESPONSIBILITIES

1. Academic Programs
 - a. Advise the Board on the academic plan and the overall mix of degree programs from time to time.
 - b. Review proposals from the Academic Council for new or significantly revised degree programs, both domestic and offshore, on the basis of relevance, academic rigour, and fit with strategic direction, and make recommendations to the Board.

- c. Review proposals from the Academic Council for new or significantly revised certificate and diploma programs and recommend to the Board decisions or actions.
- d. Monitor degree programs for academic effectiveness, relevance and demand by:
 - reviewing annual reports from Advisory Councils;
 - periodically reviewing each program, including reviewing reports of five-year cyclical external reviews of degree programs;
 - reviewing available measures of quality and student satisfaction; and
 - reviewing other suitable methods of academic quality assurance as necessary.
- e. Annually review the offerings and up-take of non-credit programs.

2. Academic Administrative Structure

- a. Review the President's recommendations and Academic Council's advice on the establishment or discontinuance of any faculty, school, centre, institute, or department and make recommendations to the Board.

3. Research

- a. Consistent with strategic directions, periodically review and advise the Board on applied research themes.
- b. Receive and review the university's annual research report.
- c. Ensure that research activities comply with pertinent legal and policy requirements.

4. Academic Support Services

- a. Periodically review academic and student support services and advise the Board on the quality and adequacy of such services.

5. Policy

- a. Periodically review Board policies that deal with academic quality, academic integrity, research, and academic support and services, and recommend revisions, additions and deletions to the Board.

6. Indigenous/Métis Programming and Research

- a. Matters related to Indigenous/Métis protocols, initiatives and focus be considered as part of PRC program and research review.

Approved by the Board of Governors:	17 September 2010
Reviewed and approved:	29 June 2011
	21 June 2013
	22 June 2015
	24 June 2016
	22 June 2018



STANDING COMMITTEE ON APPEALS TERMS OF REFERENCE

June 2015

PURPOSE

The Standing Committee on Appeals serves as the final appeal body on behalf of the Board of Governors on designated matters.

Pursuant to the *University Act*, there are rights of appeal to the senate or to the board of governors with respect to: 1) certain student/academic matters, and 2) by staff and employees of the University from suspensions in the manner and subject to conditions described below.

Section 10 of the *Royal Roads University Act* states that, "The board has the duties and may exercise the powers of the board of governors or senate of a university under the *University Act* except those powers and duties given to the president by this Act." Given the size and nature of Royal Roads University, the Board of Governors of Royal Roads University has decided to delegate the matters appealable to it to one Standing Committee on Appeals.

MEMBERSHIP

All External Members (as defined in the Board Committee Structure Document, namely members who are not employees or students of the university) of the Board of Governors constitute the Standing Committee on Appeals.

The Board Chair is the Chair of the Committee.

To hear an appeal, the Chair of the Standing Committee on Appeals, or his or her designate, and no fewer than two other members of the Committee designated by the Chair will sit as the duly-constituted Standing Committee on Appeals.

RESPONSIBILITIES

The Standing Committee on Appeals is empowered to hear appeals on the matters described below.

The Board shall establish procedures for conducting hearings, deliberating, and rendering decisions. Such procedures shall be in compliance with principles of natural justice and administrative law, and shall be published as directed by the Board.

The Committee is entitled to retain its own legal counsel, who may attend meetings and consult with the Committee.

1. Student/Academic

Section 37(1)(v) of The *University Act* indicates that a senate has the power “to establish a standing committee of final appeal for students in matters of academic discipline”; Section 61 states that “(1) The president has power to suspend a student and to deal summarily with any matter of student discipline.(2) On the exercise of the power, the president must promptly report the action to the standing committee established under section 37 (1) (v) with a statement of his or her reasons. (3) The action of the president is final and subject in all cases to an appeal to the senate.” As well, Section 40 (f) indicates that the results of examinations within faculties are “subject to an appeal to the senate”. Therefore, the Standing Committee on Appeals will preside over:

- a. Appeals against a decision by the President to suspend or expel a student, and
- b. Appeals by students on such academic matters as are appealable to the Board as senate pursuant to the *University Act*.

2. Employees

Under Section 60 (1) of The *University Act*, “the president has power to suspend any member of the teaching and administrative staffs and any officer or employee of the university. (2) On the exercise of the power, the president must promptly report the action to the board with a statement of his or her reasons. (3) A person who is suspended under this section has a right of appeal to the board.” Therefore, the Standing Committee on Appeals will preside over:

- a. Appeals of the President’s decision to suspend any member of the teaching and administrative staffs and any officer or employee of the university, and
- b. Such other matters as are appealable to the Board under the provisions of any collective agreements that the Board has entered into with certified bargaining units.

Approved by the Board of Governors: 17 September 2010
Reviewed and approved: 30 September 2011
21 June 2013
22 June 2015

The Board of Governors has approved the following Procedures for its Standing Committee on Appeals.

GENERAL

1. the rules are determined by the Board and can be waived or revised by the Board from time to time in its sole discretion;
2. all parties must comply with the rules unless the Board/Committee directs otherwise;
3. the Board or Committee may exercise any power under the rules on the Board or Committee's own initiative or on the application of a party;
4. if a party fails to comply with the rules, the Board/Committee may make any decision it considers appropriate in the circumstances;
5. decisions of the Board, or the Committee (as the case may be) are final;
6. the *Interpretation Act* shall apply to the calculation of time under the rules, or in any order or direction of the Board/Committee;

STARTING AN APPEAL

7. The appeal process should be initiated in writing and completed expeditiously; therefore timelines should be short, and strictly followed although the Board or Committee may grant extensions of time. Timelines are as follows:
8.
 - a. Within 5 days of the President's decision, appellant to provide written notice of appeal to the Manager, Board Governance & Planning;
 - b. appellant to be provided with the rules of procedure within 5 days of delivery of the notice of appeal;
 - c. 15 days for appellant to deliver a statement of appeal which sets out the circumstances relating to the appeal, names of witnesses the appellant proposes to call at the hearing, etc.
 - d. the statement of appeal is sent to the Chair of the Board/Committee and the President within 5 days;
 - e. the President has 15 days to respond to the Chair of the Board/Committee and the appellant;
 - f. the appellant has 5 days to file rebuttal;
 - g. 10 days to set the date for the hearing. The hearing date shall commence within 2 months.

Total time: 4 months
9. An application for an extension of time to file an appeal may be made by filing with the Board/Committee a written notice containing the reasons for the delay in filing the appeal

- and any special circumstances the Board/Committee should consider when making its decision on the extension request;
10. Unless otherwise ordered or directed, the statement of appeal, and a response, including any attachments, shall not exceed 10 pages in length, and shall be typed in 12 point font. Rebuttal shall not exceed 2 pages;
 11. A document sent to the Board/Committee must include a cover page with sufficient information to identify the sender;

REPRESENTATION BEFORE THE BOARD/COMMITTEE

12. A party may appear personally or by a representative. A party who appoints a representative shall provide the following information about the representative to the Board/Committee: name, address, daytime telephone number, email address;

APPEAL MANAGEMENT

13. If two or more appeals before the Board/Committee involve the same parties, or the same or similar issues, the Board/Committee may direct, upon such terms as it considers appropriate, that the appeals be combined, heard together with any other appeal before the Board/Committee, or may direct that one appeal be heard immediately after the other;
14. At its own initiative, or at the request of a party, the Board/Committee may schedule a pre-hearing conference;
15. A request for a pre-hearing conference must be in writing, provide the reasons for the conference, potential dates, and include a list of the items to be discussed;
16. If a Board/Committee member conducts a pre-hearing conference for the purpose of discussing confidential settlement matters, that member will not sit on the panel that hears the merits of the appeal unless all parties agree in writing;

MEDIATION

17. On its own initiative, or at the request of a party, the Board/Committee may conduct a settlement meeting, with or without a mediator, to resolve one or more issues in dispute;
18. The Board/Committee will not convene a settlement mediation unless all parties to the appeal agree to participate in settlement discussions;
19. The Board/Committee may appoint a member or other person to conduct the facilitated settlement;
20. If a Board/Committee member conducts the settlement meeting and the appeal is not resolved, that member will not sit on the panel that hears the merits of the appeal unless all parties agree, in writing;

CONSENT ORDERS

21. The parties may request an order from the Board/Committee by providing the Board/Committee with a signed order for consideration and signing by the Board/Committee.

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BOARD OF GOVERNORS BRIEFING NOTE



MEETING: Governance and Nominating Committee meeting, 04 June 2019
Board of Governors, 19 June 109

AGENDA ITEM: Retreat 2019/20

SPONSOR: Bruce Donaldson, Chair of the Committee

PURPOSE: For Decision

Discussion:

The Board of Governors will hold a retreat on Thursday, January 30, and Friday, January 31, 2019. The Governance and Nominating Committee will develop recommendations for an agenda for the winter retreat in the fall of 2019.

The Board may, at its discretion, schedule additional retreats through the year for the purposes of board development and to allow opportunities for the board to engage more deeply with key issues. The Governance and Nominating Committee recommends that the Board schedules a half-day retreat and Board dinner on 09 October 2019, which is the day before the fall board meeting. The recommended topics are land disposition and the West Shore campus expansion.

Recommendation:

Recommended motion:

That the Board of Governors schedules a half-day Board Retreat and dinner on Wednesday, 09 October 2019.

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PROGRAM AND RESEARCH COUNCIL

MEETING OF THURSDAY, MAY 30 2019 – 9:00AM
HATLEY CASTLE BOARDROOM

Voting Members:	Philip Steenkamp (Chair), Steve Grundy (Vice-chair), Anna Biolik, David Black, Kathleen Birney, Mary Collins (by phone), Kathryn Laurin, Dan Perrins
Non-voting Members:	Brigitte Harris, Pedro Márquez
Administration:	Margot Bracewell (recording secretary), Karen Hakkarainen
Regrets:	matthew heinz, William Holmes, Doug Kobayashi, Nadine Penalagan
Guests:	Geoff Pearce, Todd Thexton

1. **CALL TO ORDER - APPROVAL OF THE AGENDA - M/S Steenkamp / Laurin** 9:04am **CARRIED**
 The chair acknowledged that Royal Roads University is located on the traditional lands of the Xwsepsum (Esquimalt) and Lkwungen (Songhees) ancestors and families who have lived here for thousands of years. It is with gratitude that we now have the opportunity to learn and work on these lands.

 The chair welcomed David Black and Doug Kobayashi who join PRC as Board of Governors representatives. On behalf of council, the chair also thanked Dr. Anna Biolik, who completes the maximum term of 6-year serving as an external member to council on June 30th.
2. **APPROVAL OF THE MINUTES OF PREVIOUS MEETINGS:**
 I. Minutes of 8 March 2019 - M/S Birney / Perrins **CARRIED**
3. **BUSINESS/INFORMATION ARISING** **STEENKAMP**
 I. Update on recent Board of Governors approvals
 Changes to board membership:
 - Completed appointments: Jennifer Walinga, Vern Slaney
 - New members: David Black, Geoff Pearce
 - Dave Byng – reappointed to the board for another 3 years
 - Kathleen Birney's appointment as board chair and chancellor has been extended from an end date of 31 July 2019 to 31 December 2019, to coincide with the end of her appointment to the board
 Pending changes to PRC membership
 - Anna Biolik completes 6 years' service in July
 - Doug Kobayashi completes his term on the board on 31 July 2019 and will serve PRC as an external member starting 01 August 2019 (Board will be asked to confirm Doug's appointment as external PRC member at the June board meeting)
 Key approvals/decisions:
 - Approval of the Diversity Policy and endorsement of the university's Diversity Statement. The university also received federal funding to support ongoing work in this area.
 - Approval the Investment Policy and Investment Governance Guidelines
 - Board received a comprehensive presentation from Dean Bill Holmes, FOM re: SWOT analysis of FOM
 - Approval of the 2019/20 operating plan and 2019/20 academic plan
 Updates on recent/successful funding initiatives:
 - Received \$1.5m from MAEST to continue work on the West Shore Campus initiative – more on this later in the agenda
 - Received a one-time grant of \$125k from MAEST to enhance the post-secondary educational experiences and outcomes of Indigenous learners and respond to the Calls to Action of the TRC
 - Received \$346k funding from NSERC's inaugural Equity, Diversity and Inclusion (EDI) Institutional Capacity-Building Grant. RRU is one of 15 universities, from an applicant pool of 51, to secure this tri-agency funding. The purpose of this grant is to support equity, diversity and inclusion in the Canadian

post-secondary research enterprise, which connects nicely to our ongoing Everyone Counts initiative through Human Resources.

II. Status of degree approvals

GRUNDY

- MA Justice Studies: approved by MAEST on 15 April 2019
- MSc in Management is still stalled in the Ministry approvals system
 - The chair commented that delays in DQAB processes have been a topic of recent discussion with RUCBC, BCAIU and Colleges. These groups are considering how best to raise their concerns, possibly through a joint letter with constructive comments to the Ministry.

4. REPORT FROM ACADEMIC COUNCIL

GRUNDY

Academic Council last met on May 8. In addition to approving 390 graduands, recent topics for discussion/approval included:

- Presentation of the draft freedom of expression (FoE) statement to council. It was emphasized that this is not a policy, but rather principles for the university. Feedback was solicited from RRUFA and RRUSA with generally positive results.
- Reviewing proposal for a new Graduate Certificate in Management and Leadership (on PRC agenda today)
- Reviewing the 2018-19 Annual Research Report to the PRC (on PRC agenda today)

- I. New Program: GC in Management and Leadership – for recommendation to the Board of Governors
- T. Thexton shared details of a new 9-credit graduate certificate, proposed for delivery within Professional and Continuing Studies, which is specifically designed for executive education and corporate training. The program consists of currently approved RRU courses, and will provide transfer credit opportunities into other programs (e.g. MAIS, MBA, MAPC, MGM, MTM, etc.). It was noted that students will also be able to turn non-credit learning into credit-eligible learning, via approved assessment plan, and receive 3-credits toward the GC. It was also clarified that PLAR has been built into the program design but is not anticipated to be a main pathway into the program.

M/S Birney / Grundy That the Program and Research Council recommend to the Board of Governors, approval of the Graduate Certificate in Management and Leadership as a new program. CARRIED

5. STANDING ITEMS FROM PRC ANNUAL PLAN

I. 2018-19 Annual Research Report to the PRC

MÁRQUEZ

P. Márquez introduced the annual research report and thanked to Office of Research Services for their work in supporting faculty and research initiatives at RRU.

- Research Services will continue to promote opportunities to disseminate research activity. In February of 2018, Research Services hosted the first author/co-author/editor/co-editor recognition event celebrating ten years of research activity.
- RRU will be in compliance of the CRC equality, diversity and inclusion (EDI) action plan, and RRU recently received \$346k in funding to support the EDI action plan.
- RRU is currently recruiting for three new CRCs in: Digital Communication in the Public Interest (CIS), Indigenous Justice (FSAS), and Reimagining Capitalism (FoM).
- A new 3-year Research Plan is under development.

D. Black commented on the positive development of research culture at RRU in recent years (more diverse, mature, and energetic), supportive initiatives from faculty and librarians e.g.: academic freedom, research and scholarly activity leave in the collective agreement, and past efforts of M. Bernard and m. heinz in promoting the research agenda. He suggested, however, that while research achievements are recognized on campus, teaching and teaching innovation are not as highly (or commonly) celebrated and could be better promoted. Members agreed with this observation and suggested a parallel document to the LTRM be created to celebrate excellence in teaching.

Members also commented that research is often the driver for funding, and that flexible internal research funds are an important component that supports the scholar practitioner approach.

The chair noted that the RRU communications team is increasing the profile of research and impact of teaching via media and social media channels.

Members of council thanked P. Márquez and the research team for the thorough report.

II. Quality and student satisfaction measures

GRUNDY

S. Grundy opened the discussion by noting the comprehensive framework in place to track student quality metrics including course evaluations, student feedback surveys (at start and end of programs), as well as external surveys. A recurring challenge is the declining participation rates (e.g., 10-15%) rendering the responses methodologically unsound.

The board chair commented (in general) that the board feels they do not have a clear picture of overall student satisfaction levels and asked how “bigger picture” data might be better summarized for board review (individual course evaluations do not provide much value). Members reported that in addition to course evaluation surveys, many program areas stage small focus groups to explore the student experience as a more effective and engaging process for students and faculty. It was noted however, that there is no point of comparability as different questions are being asked across programs and the compilation of data can be time-consuming.

Council suggested developing protocols and consistency for the focus groups, and summarizing the process to share with the board. Alumni were also identified as an important resource to include in the feedback loop.

In closing, it was agreed that a variety of mechanisms, including exit surveys, should be employed to collect student feedback; however, we should explore more innovative ways to quantify student quality and satisfaction metrics within the context of the LTRM.

6. NEW BUSINESS

I. West Shore Campus Expansion – for information

GRUNDY

A status brief was provided in the meeting package. S. Grundy summarized that three groups have been formed: a steering committee (RRU executive members); an advisory group comprised of external stakeholder who will advise the president; and a working group tasked to design academic programing, identify the needs and location of the proposed facility, and develop a business case. Deadlines are tight as the target date for the working group to report back to the Ministry is September 2019.

Presently, curriculum development is being prioritized and will be compared to the broader vision of RRU. Once programs and delivery are solidified (may include existing RRU programs: BJUS, BBA, BAPC for example), we will look to other partners to layer and fill in the gaps.

RRU is overseeing the development of the business case with the assistance of external consultants, and is agreeable to engaging with other stakeholders (e.g.: SD62, Camosun, UVic) at an appropriate time.

As we move thoughtfully forward, the end state was identified as: an RRU campus with other institutions using the space (not duplicating existing facilities), with the capacity for 1,000 students (and ability to expand). The location could be on or off the RRU site, however a satellite campus may be more advantageous (we would look for opportunities to share space with Camosun and UVic). It was also clarified that that the term “infrastructure” includes digital infrastructure.

The board will be provided with an update on this initiative at its June 2019 meeting.

II. Program Approval Framework – for recommendation to the Board of Governors

GRUNDY

As outlined in the package briefing note, it is proposed that changes to the program approval process be implemented in order to streamline approvals, including:

- All new certificate and diploma programs to be approved by Academic Council (*had previously been approved by the board*). PRC and the board will be informed of all approvals.
- All new certificate and diploma program tuition rates to be set within the framework established by the Pricing Committee and consistent with rates in existing certificate and diploma programs.
- All new certificate and diploma program tuition rates to be reviewed and approved by the Executive Committee prior to Academic Council review.
- All program revisions for certificates, diplomas and degrees to be approved by Academic Council (previously all major revisions were approved by the board).

No other changes are proposed to program approval or quality assurance practices; however, the PRC and Academic Council terms of reference, and the Academic Programs policy will require updating. Members supported the changes to the program approval framework.

M/S Birney / Biolik **That the Program and Research Council recommend to the Board of Governors, the proposed changes to the program approval framework for approval.**

M/S Birney / Perrins **That the Program and Research Council recommend to the Governance and Nominating Committee, the proposed changes to Council's terms of reference, subject to Board of Governors approval of the program approval framework.**

7. REPORT OF THE PRESIDENT AND VICE-CHANCELLOR

STEENKAMP

Visioning exercise: The chair thanked P. Márquez for his leadership as the executive member overseeing the initiative. Active consultations and an online survey are currently underway, with work expected to conclude by the end of June.

The RRU land disposition process has made significant progress with a pending framework agreement with Esquimalt Nation scheduled for signing in mid-June.

8. REPORT OF THE VICE-PRESIDENT ACADEMIC AND PROVOST

GRUNDY

S. Grundy referred members to the report contained in the meeting package.

Members asked for more information regarding softening enrolments. It was clarified that the softening is related to 2019-20 targets (which include growth) and generally runs across domestic enrolment. Overall, domestic enrolment at BC PSIs has dropped 22% over the past 10 years, while international enrolment has increased 191% (with a net decrease of 9% across the province). Moreover, there is increasing competition across institutions, including competitive environments in online education and fewer 18-25yr demographic.

Strategies to address softening include:

- Admissions: carefully monitoring enrolment numbers and working through a bottleneck in adjudicating international applications
- Marketing: completing a competitiveness review on domestic enrolment (across Canada)
- Program areas: Looking at specific programs to help understand softness e.g.: SCC is looking at target student populations

9. OTHER BUSINESS

10. MEETING ADJOURNED *M/ Biolik*

10:50AM

NEXT SCHEDULED MEETING – THURSDAY, 12 SEPTEMBER AT 9AM

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Annual Research Report for the RRU Program and Research Council 2018-19

May 2, 2019

Research at Royal Roads University

As one of the six research universities in the province of British Columbia, Royal Roads is committed to the support and promotion of research by faculty, staff and students. Royal Roads strives to cultivate a leadership role in the areas of research quality, research effectiveness, and in inter- and transdisciplinary research. Intrinsic in the Royal Roads mandate, research is use-inspired, and contributes to change in peoples' lives and in the world. We support a scholar-practitioner model, enabling faculty and students to address concrete issues and topics. We seek to develop scholar-practitioner abilities in students, ensuring that they are skilled in both the production and use of knowledge.

Research at Royal Roads is conducted in various fields of inquiry – physical and environmental science, social sciences and humanities, and health. As a primarily social science university, a considerable amount of research conducted at and through Royal Roads is change-oriented, inherently inter- and transdisciplinary, and engages individuals, organizations, and communities at all levels and stages of the process. Much of the research is characterized by practitioner orientation, a desire to develop solutions to current problems, and a commitment to sustainability, social innovation, social responsibility, and change. Given that social and environmental problems are complex, typically transnational, and always transprofessional, Royal Roads researchers work from within a range of disciplines and consult widely with stakeholders, from the conceptualization of the research problem all the way to knowledge dissemination and mobilization. In this vein, Royal Roads' research sometimes directly brings about change, supporting the university's Ashoka Changemaker Campus designation for example. At other times, it helps provide a framework of analysis that enables practitioners to develop policy or implement change recommendations. At RRU, we believe that research that crosses disciplinary and academic boundaries and integrates a variety of methodologies offers great potential to contribute to transformative change. Our research is designed to be with, rather than on, participants, with emphasis on the co-creation of knowledge. Research, teaching, and learning are intentionally intertwined at Royal Roads and research drives the curriculum, contributes to teaching, and instills a spirit of inquiry in our students.

At Royal Roads, we know that diversity leads to better research and more effective teams (Cheruvilil, Soranno, Weathers, Hanson, Goring, Filstrup & Read, 2014; Florida & Gates, 2001; NSERC 2017). In order to conduct quality research that places Canadian institutions on the world stage, research must include the participation of people from diverse cultures, backgrounds, sexual orientations, gender identities, abilities, and socio-economic classes (NSERC, 2017; Parker, Pelletier & Croft, 2015), and encourage and enable diversity of thought and ideas. Diverse research teams have increased innovative capacities, a broader recruitment reach, and are less likely to fall prey to groupthink or homophily (Cheruvilil et al., 2014; Dale & Newman, 2007; Parker, Pelletier & Croft, 2015). The integration of diversity in terms of teams and thought into research data collection and output is imperative, particularly when – as in the case of Royal Roads – research is intended to solve real-world problems through transformational scholarship (RRU, n.d.1) and must therefore serve a diverse community (Irish Research Council, n.d.; Lightfoote et al., 2014).

At RRU, we are strong advocates for the importance of diversity in the research environment. We recognize that there are systemic issues that create barriers for members of underrepresented groups not only within the academic research enterprise, but throughout the staff and student populations.

We also know that research contributes to the overall success of the university. Healthy research climates, as well as quality research, result in enrolment growth, prestige, credibility, legitimacy, business and community partnerships, and enhance the ability to attract, recruit and retain staff, students, and faculty.

At Royal Roads we believe that it is not enough simply to do research; the results of research must be communicated through a variety of channels and media. While we support traditional research outputs, we are also focused on communication beyond traditional measures. At Royal Roads there is a concerted effort to share outputs, outcomes and impacts and to understand the attribution of change as a result of the research. In our quest to understand the difference our research makes, we delve into longer term connections and influence that research findings might have. Royal Roads places great importance on how the conduct of research changes and transforms our students, seeking to understand how our alumni do things differently in their day to day lives, in their workplaces and their communities, as a result of conducting research during their time as a student. It is, in our view, essential that students gain the ability to question, assess, and analyze information; and to then use that information to effect change.

In many instances, research at Royal Roads directly brings about change; more often, it helps to provide a framework of analysis that enables practitioners to develop policy or implement recommended change. The link between analysis and change implementation is strong; our masters and doctoral students are typically embedded researchers who pursue research topics of immediate interest to their organizations or communities. At the undergraduate level, students typically explore a particular problem or help to solve a specific challenge. The university's full-time and associate faculty, who usually teach from scholar-practitioner or practitioner-scholar perspectives, guide students in the design, implementation, and evaluation of their research. The desire to help inform and bring about social change, address social justice issues, further innovative learning, improve organizational cultures and leadership, and contribute to economic, social, and environmental sustainability, drives much of the university's research and scholarship (heinz, 2017).

Research underpins the development of the university's programs of study, lends itself to illustration in courses, and immerses students in a range of research explorations. In other words, research activity, teaching, and learning are intertwined and consistently inform and build on each other and this interconnectedness is highlighted in the university's new *Teaching, Learning and Research model*.

Royal Roads is committed to the ideals of open access, and to ensuring that strategies and processes are in place to ensure effective research data management. This includes working closely with the library and faculty to ensure research artefacts are available and that data is stored appropriately, in keeping with the (draft) Tri-Agency Research Data Management Policy (2018).

Researchers at Royal Roads are held to the highest standards of academic integrity, the responsible conduct of research, and ethical conduct for research involving human subjects (RRU, 2011). All research and scholarship shall be carried out in accordance with the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans, the Tri-Council Policy Statement on Integrity in Research and Scholarship, Access to Information and Privacy Legislation, and Requirements for Certain Types of Research (Appendix Four of the NSERC Researcher's Guide).

In addition to funding for six Canada Research Chairs, external funding for Royal Roads research comes from a variety of sources including domestic and international associations or organizations; Tri-Agencies; other federal funding agencies; provincial government; foundations; and the private sector. Over the last four years, the university has had successful postdoctoral fellows funded by Mitacs Elevate, Banting, and SSHRC. Much of Royal Roads research, however, does not rely on extensive external funding and instead works directly with small organizational or community sponsors.

The university also provides internal research funding for its full-time faculty. All faculty members receive a Personal Professional Development Fund and can apply for a variety of internal research grants including a Pooled Professional and Scholarly Development fund; the SSHRC institutional research grant fund; the Buttedahl Skene fund; the Teaching with Technology Fund; the Internal Research Fund; the Allan Cahoon Global Advancement and Diversity Fund, and the Conference Seed Fund. Internal research funding is flexible and can be applied to travel, the hiring of research assistants, knowledge dissemination, seed funds for larger external applications, and research materials and supplies. Faculty also are eligible to apply for a Research and Scholarly Activity Leave six years after their full-time appointment.

The institutional definition of research emphasizes the value of team and community partnerships and respects the amount of time and effort collaboration requires. The Collective Agreement between Royal Roads University and the RRU Faculty Association explicitly states that Royal Roads University "is a non-traditional professional and applied institution and as such research and scholarship outside traditional academic models is supported and encouraged" (Article 19.2b). In addition to traditional measures of research and scholarly activity, such as peer-reviewed publications, academic conference presentations, and work funded by external grants, the university recognizes and encourages other activities. Such activities include scholar-practitioner work (e.g., consulting and community activities), participatory research activities (e.g., meetings with stakeholders, consultations, attendance at organizational meetings), training (e.g., participation in workshops or courses), and capacity-building (educational and training programs for research participants and sponsoring organizations or communities).

The majority of Royal Roads faculty pursue social science fields of study. Grounded in a commitment to helping solve social problems, Royal Roads research normally involves human participants and is typically qualitative in nature. Common research approaches employed by faculty and students include, but are not limited to action research, appreciative inquiry, creative and arts-based methods, case study, community-based research, ethnography, and participatory research. Much of the university's research applies interviewing, focus group, PhotoVoice, questionnaires, observation, survey, systematic literature review and World Café techniques among other approaches.

Strategic Research Themes

RRU research is guided by three strategic themes: innovative learning; thriving organizations; and sustainable livelihoods, communities and the environment.

Sustainable communities, livelihoods and the environment focuses on resilience, diversity, development, vitality, and the ability to innovate and adapt. Arguing that a vital community is one that can thrive in the face of change, research explores ways for communities to make the most of their ecological, social, cultural, and economic capital. Research considers the livelihoods and wellbeing of individuals, communities and societies. Examining natural, physical, human, financial and social assets mediated by institutional and social relations, research seeks ways to enhance these advantages. Incorporating multiple perspectives at global, national, and local levels, the theme explores multidimensional understandings of how social, political, environmental (natural and built), and economic systems intersect and influence each other.

Innovative learning focuses on learning that creates opportunities, generates knowledge and empowers individuals and societies. Innovative learning research explores models of knowledge generation and dissemination, ways of knowing and learning, participatory learning, emerging technologies, reflective engagement, and qualitative and transformative inquiry. The theme considers learning at the level of society and organizations, as well as the scholarship of teaching and learning.

Thriving organizations focuses on the spectrum of development in organizations, systems and sectors, as well as how these groups adapt, innovate and lead with a vision of the future. This research explores human and operational dimensions, seeks to foster individual and organizational capabilities, and considers communication a fundamental enabling process. Critical thinking, creativity, entrepreneurial thinking, and innovation are key components of the thriving organizations research theme. Examples include but are not limited to advancing the practice of management, innovative business models, social responsibility and corporations, commerce and sustainability, strategy, alternative models of governance, the role of authentic engagement, and the changing dynamics of work and the workforce. From a local to a global context, research examines leaders, leadership, divergent accountabilities, resiliency, responsibility, stakeholder engagement, design, strategic planning, change, and diversity.

2018-19 Research Activity

During 2018-19 fiscal year, the Office of Research Services was involved in the development of 112 research projects with faculty members and another 13 with students. Of these, a total of 63 faculty proposals and 13 student proposals were submitted to funders such as the Tri-Agencies, Innovation, Mitacs, Heritage Canada, Vancouver Foundation, Michael Smith Health Service Foundation, WorkSafe BC, and Natural Resources Canada, to name just a few. As of April 2019:

- 18 faculty proposals and 13 student proposals have been approved
- 23 faculty proposals were not successful (RRU's success rate is equal to or higher than most small universities and equal proportionately to many medium-sized institutions)

- 2 faculty proposals were registrations/notices of intent to apply
- 49 faculty proposals were not submitted (The conversion rate of proposals in development to proposals submitted decreased considerably from 68% last year to 44% this past year)
- 0 faculty proposals were withdrawn
- 20 faculty proposals are still under consideration by the funder

A total of 29 new projects led by faculty, and 13 led by students had their first year of funding in 2018-19, with an overall value of \$5 million. Between new and existing projects, over \$2.2 million was received, a consistent steady increase of funding through each of the last four years, with \$450k of that applied to student research projects.

By comparison, in 2017-18, the Office of Research Services was involved in the development of 116 research projects with faculty members and another 14 with students. Of these, a total of 79 faculty proposals and 14 student proposals were submitted to funders. At this same time last year:

- 33 faculty proposals and 14 student proposals had been approved
- 12 faculty proposals were not successful
- 3 faculty proposals were registrations/notices of intent to apply
- 37 faculty proposals were not submitted
- 1 faculty proposal was withdrawn
- 33 faculty proposals were still under consideration by the funder

A total of 129 faculty projects were funded internally in 2018-19, an increase of almost 30% from the previous year, totalling approximately \$360,000. These projects included travel for presentation costs, seed funding for pilot projects, and funds to hire research assistants. In 2018-19, we launched a new internal grant award, funded by the Social Sciences and Humanities Research Council, with a value of \$40,000 per year for three years. A total of nine grants were awarded from the new fund under the following categories:

- pursuing small-scale innovation and experimentation for a research project or pilot study;
- hiring students to participate in research projects thereby contributing to the students' professional development;
- engaging in small-scale knowledge mobilization activities, such as workshops and seminars, in order to encourage collaboration and the dissemination of research results both within and beyond the academic community; and
- allowing researchers to attend or present their research at scholarly conferences and other dissemination venues that align with SSHRC's mandate in order to advance their careers and encourage the exchange of ideas and research results at the national and international level.

The Office of Research Services provides pre- and post-award support for faculty. This includes searching for funding opportunities, liaising with funding agencies, working with faculty to develop and submit proposals, assisting with project management, reviewing all project expenditures, and coordinating all reporting (financial and narrative). Research Services is also involved in communicating research outcomes and impacts and for determining trends nationally and internationally with regard to both research and research administration.

Research Dissemination

In 2017, a total of five books were authored/co-authored/edited/co-edited by faculty; 27 chapters published in various books; 54 articles published in peer-reviewed journals; and 125 presentations and keynote addresses given. In 2016, a total of seven books were authored/co-authored/edited/co-edited; 31 chapters published in various books; 19 articles published in peer reviewed journals; and 95 presentations and keynote addresses given. In addition, an increasing number of faculty disseminates the results of their research and scholarly activities via social media, websites, media interviews, presentations to funders and community organizations, and reports for practitioners. Data is still being gathered for 2018. In February of 2018, Research Services hosted the first author/co-author/editor/co-editor recognition event celebrating ten years of research activity.

Equity, Diversity and Inclusion

The Canada Research Chairs Program has been calling on university presidents to make a concerted effort to address the under-representation of the four designated groups (women, Aboriginal Peoples, persons with disabilities, and visible minorities) in nominations for Canada Research Chair positions. In response to its 15th-year evaluation, the CRC Steering Committee shared the CRC Program's Equity, Diversity and Inclusion (EDI) Action Plan. The action plan focuses on improving the program's governance, transparency and monitoring of equity and diversity. The plan includes actions that support institutions in making swift progress toward meeting their equity and diversity targets, in addition to ensuring that the essential principles of equity, diversity and inclusion are strengthened within the program. These include additional institutional requirements, some of which were to be met by October 2017, and the remainder of which were due for completion in December 2017.

Although institutions with fewer than five CRC allocations were not required to do so, Royal Roads proactively developed an Equity, Diversity and Inclusion Action Plan for its Canada Research Chairs. The plan is publicly posted at <https://research.royalroads.ca/equity-diversity-and-inclusion-action-plan>.

The university's diversity statement captures its equity, diversity and inclusion objectives: *Diversity enriches community, expands learning, and advances knowledge. Royal Roads University acknowledges and celebrates the diversity of our community, which is shaped by our complex identities, life experiences, and perspectives. We strive to increase understanding, appreciation, and engagement with each other, thereby making us more compassionate human beings and strengthening the fabric of our communities. To achieve this, we commit to: facilitating educational experiences, research opportunities, and a workplace environment that reflect and benefit from the diversity of our communities; and fostering an environment that is open, inclusive, safe, respectful, and fair, and in which a diversity of ideas are able to flourish. Our expectation is that we will support one another in fulfilling these commitments, thereby cultivating a whole, thriving community that is greater than the sum of its parts.*

Royal Roads University is committed to attracting a diverse pool of candidates as new CRC allocations become available. In particular, the university is committed to attracting women and/or Indigenous candidates and/or candidates with disabilities. The university's first Canada Research Chair was awarded to a female scholar, who now serves as the Equity and Diversity Champion for the SSHRC Environment and Energy Review Panel, Phase 1 of the Canada Excellence Research Chairs (CERC) program. Having used the CRC target-setting tool to calculate equity and diversity targets and determine gaps, Royal Roads University has confirmed its equity targets and gaps for each of the Four Designated Groups (FDGs). All new chair allocations between December 2017 and December 2019, three of which are currently underway, will be focused on achieving the equity targets.

The university's EDI Action plan for the Chairs program addresses recruitment, allocation of chairs, renewals, loss of chair funding, levels of support, training and development, the collection of equity and diversity data, and retention and inclusivity. Having just completed the process of a formal external review, the Office of Research Services is responded to the areas of concern that were identified through the review.

Our specific key objectives, drawn from the RRU EDI AP progress report for the CRCP, seek to:

1. attract a diverse pool of candidates, in particular: women, Indigenous peoples, persons from visible minorities, and persons with disabilities;
2. train all members of recruitment committees, as well as administrators and other staff and faculty, on unconscious bias;
3. review RRU recruitment practices;
4. ensure that RRU CRC search committees include at least two members from any of the federally designated groups (FDG);
5. review accessibility and responsibility for accessibility communications at the institution; and,
6. collect self-identification data from CRC applicants, RRU faculty, and staff.

In March 2019, the university received notice that it was one of 15 (out of 46 applicants) to receive an Equity, Diversity and Inclusion Institutional Capacity Building (EDIICB) grant of approximately \$375,000 over two years. With funding through the EDIICB grant, RRU intends to:

1. increase the scope of RRU's CRC EDI AP from, primarily, RRU CRCs to all RRU faculty by:
 - a. accelerating the work currently underway on EDI in the institution including analyzing data from a self identification staff survey planned for March 2019, and identifying and eliminating systemic barriers that impede the career advancement, recruitment and retention of underrepresented groups;
 - b. leveraging assessment tools and measurements to specifically assess RRU's practices in regard to: upstream recruitment; job ad composition, search committee preparation, and the engagement of alumni to create mentorship networks (EAB, 2017);
 - c. developing and delivering EDI related training materials and resources that speak specifically to RRU's challenges and opportunities;
 - d. analyzing and recommending changes to our current EDI AP for the CRC program and taking steps to broaden the action plan to the wider institution;

- e. looking at additional ways to action EDI as part of the new Strategic Research Plan;
2. establish a President's Steering Committee for EDI at RRU (see *Institutional Commitment*);
3. create institutional expertise in the form of two staff members. These staff, one from ORS and one from HR, will focus on EDI. They will gather information and knowledge from institutions that have been identified as having exemplary equity practices and/or EDI APs, such as Brock University and Simon Fraser University (Brock, n.d.; CRC, 2018a; SFU, n.d.). Working with the President's Steering Committee, consultants, staff, faculty, and others as required, these staff members will be responsible for all aspects of the project. For example: they will undertake a policy and practices review, gather and analyze data regarding systemic barriers, develop and conduct training, develop and recommend policies, and conduct and analyze surveys;
4. raise awareness of the importance of EDI and provide recommendations and a plan to address systemic, environmental issues across the institution, putting accountability measures in place across all decision-making levels of the university to support cultural change in favour of EDI;
5. submit a more informed and in-depth updated EDI AP; and finally,
6. if/when the Made-In-Canada Athena Swan model includes a certification-focused awards program similar to the UK program (NSERC, 2019), RRU will apply for a bronze award or its Canadian equivalent; an award that "Recognise[s] a solid foundation for eliminating gender bias and developing an inclusive culture that values all staff" (Advance HE, n.d., p. 2), by the end of the second year of EDIICB grant funding.

Our vision is that of an inclusive, diverse workforce that understands and demonstrates best practices regarding EDI in research, scholarship, teaching, and human resources. We envision RRU having an engaged organizational culture that embraces, understands, and advances EDI.

Canada Research Chair Holders

Recruitment in progress, Tier 2 Chair in Digital Communication in the Public Interest (College of Interdisciplinary Studies)

Recruitment in progress, Tier 2 Chair in Indigenous Justice (Faculty of Social and Applied Science)

Recruitment in progress, Tier 2 Chair in Reimagining Capitalism (Faculty of Management)

Dr. Ash Prasad, Tier 2 Chair in Innovative Organizational Practice

Dr. Ash Prasad's CRC research aims to: conceptualize the motivations informing the decision of diaspora entrepreneurs to return to their country of origin to pursue ventures under conditions of institutional atrophy; understand how diaspora entrepreneurs define entrepreneurial and personal success, and; consider how diaspora entrepreneurs function as institutional change agents in their countries of origin. Outcomes will shed light on the needs of diaspora entrepreneurs in Canada, and how opportunities between countries may be developed. The intent is to create knowledge that leads to sustainable entrepreneurship. Given the wide variance of motivations influencing entrepreneurship, and given how these motivations are informed by the institutional dynamics of

the country context, Prasad believes there is a need to better account for how entrepreneurs subjectively understand meanings of success. This need is especially conspicuous in emerging economies that have, to date, been understudied. The program of research will focus specifically on diaspora entrepreneurs. The diaspora entrepreneur is defined, at the broadest level, as the entrepreneur who settles in a foreign country but who maintains ties with her or his country of origin. The research will focus particularly on diaspora entrepreneurs who return to their country of origin to establish new ventures. It will seek to capture why diaspora entrepreneurs elect to return to their country of origin, and what impact (if any) such a decision has on transforming the institutional environment in which they operate. At the crux of the program of study are three interrelated research questions: 1) What are the motivations informing the decision of diaspora entrepreneurs to return to their country of origin to pursue ventures under conditions of institutional atrophy? 2) How do these diaspora entrepreneurs subjectively define entrepreneurial and personal success? and 3) How do diaspora entrepreneurs function as institutional change agents in their countries of origin?

Outcomes of this research program have implications for the Canadian context. Fundamentally, it will highlight the intrinsic needs of some diaspora entrepreneurs residing in Canada. These needs pertain to the desire to engage with entrepreneurship to not only advance the economy of their country of settlement, but also to improve the conditions of their country of origin. Understanding the saliency of these needs may lead to identifying new and innovative ways by which diaspora entrepreneurs can pursue ventures in Canada while collaborating with organizations in their country of origin to generate economic advancement in both countries. By expanding the existing knowledge on entrepreneurial motivations, new insights may be provided into how entrepreneurship can be better encouraged and sustained in Canada. This might translate into efforts to create public policy initiatives that connect entrepreneurship with individual personal values.

Dr. George Veletsianos, Tier 2 Chair in Innovative Learning & Technology

The first five years of George Veletsianos' CRC research program focused on making sense of learners' and scholars' online experiences, practices, and participation by focusing on social media and Massive Open Online Courses (MOOCs) environments. Research outcomes and applications of his work fall into the following four themes:

I. Participation divides and inequities. The major finding of this work, that significant variation exists in the ways that different groups of scholars and learners participate online, has important implications for educational inclusion and equity. Although online platforms used for learning and scholarship are often purported to be democratizing forces, Veletsianos' research has revealed participation inequities within them. His research has challenged the conventional view that use of social media for teaching, learning, and scholarship leads to new and more egalitarian structures for scholarly participation and suggests instead that it reflects or fosters non-egalitarian structures of scholarly practice. His findings challenge the common thinking that (a) social media can provide add-on spaces for rich interactions for all individuals and (b) digital presence will necessarily lead to positive outcomes. These findings have broad significance for the practice of educational technology, which has historically focused on the pedagogical applications of technology and largely ignored many of the social aspects of technology use that influence how students, educators, administrators, and educational institutions construct ecosystems of learning.

II. Complicated nature of online participation. Veletsianos' research found that the nature of open online learning and social media participation is considerably less simple than many proponents suggest. His research shows that the realities of being online are in fact complicated: different individuals not only participate online in different ways, but their experiences of that participation are neither universal nor unitary. These findings led Veletsianos to expand his investigation into individuals' differential experiences online in more targeted ways, resulting in two successful SSHRC grants. The first award is for an investigation into how social media participation changes over time and on the factors that lead to such changes, and the second is for a study of female academics' experiences of social media harassment.

III. Methodological pluralism. Veletsianos founded the Digital Learning and Social Media Research Group to partner with emerging researchers to conduct large-scale investigations into the ways that academics, students, and institutions use online learning and social media, thereby enabling trainees to enhance their methodological toolkits by learning how to use big data methods. His work has posited that an overwhelming focus on any one methodology, such as the current literature's over-reliance on MOOC platform clickstream data, will fail to generate a complete understanding of individuals' experiences and practices.

IV. Identity and social media participation. Veletsianos' CRC research has also explored issues of identity and online activity. In particular, his research has investigated the influence of matters of identity on students and academics' personal and professional participation on social media and its implications for teaching, learning, and scholarship. Veletsianos and colleagues theorized that expressions of identity online can be understood as a collection of what they have termed Acceptable Identity Fragments. According to the theory they developed, individuals (a) shape their participation online in ways that they believe are acceptable to their audiences (e.g., peers, students, employers, family), (b) view their participation as a direct expression of their identity, and (c) feel that this expression represents only a small fragment of their larger sense of self.

Now in his second five-year term as a CRC (approved May 1, 2018), Veletsianos will examine online learners' spatiotemporal experiences and practices. Specific objectives are to (a) interrogate the claim that online learning can occur anywhere at any time; (b) describe learners' lived experiences with learning anywhere at any time; (c) delineate the tensions that arise in flexible online learning, (d) investigate the ways learners approach their online studies, and (e) probe the degree to which opportunities to take advantage of flexible online learning reflect broader divides.

Dr. Phillip Vannini, Tier 2 Chair in Innovative Learning & Public Ethnography

In his first five year term as a CRC, Dr. Phillip Vannini's research focused on the lifestyles of people who live off the grid. Gathering stories and experiences from people across Canada, Vannini explored such themes as the conflict between a world that is increasingly more dependent on power and a future that relies less on massive power delivery systems. Vannini was renewed for a second five-year CRC term in 2016. The goal of the research agenda in this second term is to re-envision the relation between ethnographic writing and contemporary ethnographic film-making in light of the current possibilities offered by advances in non-representational research strategies and the affordances of new digital audio-visual technologies. To achieve this goal, Vannini is conducting a public ethnographic study that will contribute not only to our understanding of

ethnography writ large, public ethnography, and ethnographic film, but also to academic and popular knowledge on the subject matter of wilderness. Dominant popular images and practices of wilderness are informed by discourses that essentialize wilderness as an asocial reality and “pristine” landscape somehow devoid of culture.

Whereas the first term of the CRC focused on exploring the potential of public ethnography, the second term will concentrate on expanding its non-representational audio-visual agenda and scope by diversifying its methodological strategies, furthering its mediated reach, and increasing its global audience. Vannini suggests that wilderness is a highly contentious term noting that over the last two decades, the idea of wilderness has stirred intense debate in the academy, pitting those who believe that it stands as an ideal form of essential nature untouched by humans, against critics who argue that the construction of meanings of wilderness are informed by strong hegemonic social forces that reveal important cultural dynamics.

Along with the CRC project, Vannini was also funded through a SSHRC Insight Grant for the project *Natural, Wild, Canadian: An Ethnography of Canada's World Heritage Natural Sites*. The research examined the construction of nature at Canada's Natural World Heritage Sites. The project aims to describe and understand how natures are enacted in Canada's World Heritage Natural Sites through writing and a documentary film inspired by contemporary thinking and empirical knowledge on nature, wilderness, wildness, and natural heritage and therefore contribute to the interdisciplinary literature on this subject across the cultural and social sciences. Vannini's journeys for both the CRC and SSHRC project will be chronicled in a book and film titled, *In pursuit of wild*.

Dr. Brian Belcher, Tier 1 Chair in Sustainability Research Effectiveness

Dr. Brian Belcher's CRC research program is focused on developing theory, methodology and a practical approach to evaluate sustainability research in complex transdisciplinary contexts, and to use this approach to conduct comparative analyses and evaluations of sustainability research projects. The research aims to: 1) develop an international network of collaborators with a focus on impact and effectiveness in sustainability research; 2) develop and test evaluation approaches and methods for transdisciplinary research, building on emerging ideas and theoretical and practical experience in related fields; 3) analyse and evaluate selected livelihoods, community resilience, and sustainability research projects/programs; and 4) recommend improved approaches to the design and implementation of transdisciplinary approaches to enhance outcomes and impact.

The program builds on the premise that contemporary social and environmental problems require combinations of new knowledge and innovation, action and engagement. New and evolving research approaches cross disciplinary and academic boundaries, integrate methodologies and engage a broad range of stakeholders as a way to make research more relevant and effective. Theoretically, such approaches appear to offer great potential to contribute to transformative change, however, because these approaches are novel, and because they are multidimensional, complex and often unique, it has been difficult to know what works, how and why. Using a mix of case studies from international partners as well as RRU student thesis work, Belcher is hoping to develop an analytical framework focused on 'quality' in transdisciplinary research

Belcher's research program is also helping to define, assess, and advance Royal Roads University's unique research model, with the aim of identifying and supporting approaches that will increase

research effectiveness. As part of this, Belcher and his team are applying their newly-developed transdisciplinary research quality assessment framework in a review of RRU graduate student research projects to test the evaluation framework and to assess RRU student research from the perspective of potential effectiveness. The framework considers four aspects: a) relevance, including social significance and applicability; b) credibility, including criteria of integration and reflexivity, added to traditional criteria of scientific rigor; c) legitimacy, including criteria of inclusion and fair representation of stakeholder interests, and; d) effectiveness, with criteria that assess actual or potential contributions to problem solving and social change. This work will help inform research teaching and support at RRU.

Ashoka Research Chair

Dr. Brian Belcher, College of Interdisciplinary Studies, Inaugural Ashoka Research Chair in Research Effectiveness

Belcher will aim to improve the contributions that research and researchers make to social change processes. Ashoka U has made great strides in engaging and empowering teachers, students and social entrepreneurs to embed changemaking in higher education. In order to truly achieve campus-wide excellence in social innovation and changemaking, we need to do more to engage and empower a broader range of faculty and students on the research side of higher education. The Chair will bring a specific innovative focus on the research environment in higher education. Faculty and student research have great potential as an engine for new knowledge and social innovation, but researchers who have been trained in disciplinary traditions, and even many who are deliberately interdisciplinary, struggle to meet expectations for “impact” from funders and from society more generally. New approaches are needed to support and to engage faculty as changemakers and to transform research and research systems for greater impact.

The Ashoka Research Chair in Research Effectiveness will provide a platform to link and build upon this base with new research and engagement within the Ashoka U network as resources permit. For example, the Chair could:

- contribute to Ashoka U’s research and impact measurement efforts by further developing and sharing the conceptual framework, tools and methods for assessing the quality and effectiveness of change-oriented research;
- contribute to sessions on research design and assessment at Ashoka Exchanges;
- contribute to building a research effectiveness community of practice across the Ashoka Changemaker Campus network; and
- collaborate on outcome/impact evaluation case studies on select Ashoka research projects.

The Ashoka Chair will help expand and share the lessons and the approach throughout the Ashoka U network. The Chair will advance the application of research to diagnose and help solve pressing problems, to meet the needs of communities and to equip students to be able to generate and to use knowledge more effectively. The Ashoka Research Chair will help advance: 1) theoretical understanding of research effectiveness; 2) practical methods for assessing changemaking research; 3) empirical analyses of the type, degree and mechanisms of outcomes achieved in changemaking research projects; and 4) design, methodology, and implementation of change-

oriented research to increase effectiveness at different scales, (from graduate student through large international research consortia). It will facilitate broader learning and sharing among faculty researchers, teachers, supervisors and students and broader application of the concepts, tools, and empirical lessons to guide research in higher education. It will contribute to an evolution of research practice to be more socially engaged, deliberate and effective in contributing to social change.

Research Spotlight - Faculty

Of the many research projects in progress, the following, which were submitted or funded this past fiscal year have been selected as spotlights.

The PromoScience Expeditions – 2019 to 2021

Dr. Audrey Dallimore, School of Environment and Sustainability (successful – includes research with Indigenous communities))

The overall objective of the PromoScience Expeditions is to provide Indigenous and non-Indigenous youth and their teachers in small and remote BC coastal communities, with opportunities to experience and learn about high quality marine science and technology from professional researchers who have decades of experience working in their local coastal areas. We will bring ship-based, interactive, hands-on science experiences to youth and the general public in BC coastal communities who do not have equal exposure to science learning opportunities as their urban counterparts. By raising awareness of ocean science and showcasing careers, college and university programs focused on the coastal environment, we will demonstrate how youth and their communities can play a part in sustaining coastal communities through education and training in science.

The annual PromoScience Expeditions will involve port visits of the Canadian science research vessel the *CCGS Vector*, and/or the *Raincoast Survey*, with their science crews and Coast Guard officers and crew, to up to five small BC coastal communities annually, who have limited or no access to science and technology enrichment opportunities (e.g. science centers, colleges, museums etc.). The port calls will be located in the Salish Sea, home to Coast Salish tribes and/or the West Coast of Vancouver Island, within traditional Nuuchahnulth Territories, home to fifteen related tribes. These communities are all within School Districts such as SD 70, where over 30% the students are of Indigenous ancestry.

The *CCGS Vector* will be open during the day to local students and their teachers to permit tours and activities, which will be organized by our advance community engagement and consultation team. In the evenings the ship will reach a broader audience in the community and be open to the public. The *CCGS Vector* will be equipped for this event with all the science gear she is capable of deploying. She will carry eight working marine scientists onboard, and four to six of their colleagues will follow the expedition by land to help out. Scientists who are specialists in many ocean disciplines will be on board to explain and demonstrate the equipment, and show and tell their science research in interactive activities and displays. The *Raincoast Survey* vessel may also be deployed for local projects involving students who can participate in bathymetric mapping, water

column, micro-plastics, sediment and phytoplankton sampling and analyses of their local harbor areas.

Energy Poverty in Canada

Dr. Runa Das, College of Interdisciplinary Studies (successful – includes research with Indigenous populations)

Energy is all around us. We use it to cook our food, heat our homes, and engage in important social practices. However, energy is not equally available to everyone. The “energy poor” are people with low access to the necessities afforded by reliable energy services in their everyday lives. This project adapts scholarly definitions of energy poverty to a Canadian context to measure the lived reality of this emerging form of social inequality. Canada’s shift from an economy and society based on fossil fuels to one based on less carbon intensive forms of energy is triggering far-reaching reconfigurations at the material, economic and institutional levels. By maintaining global economic competitiveness and reducing greenhouse gas emissions, the economic and environmental benefits of the transition are clear. But far less clear is how energy transitioning will affect the ability of individuals and households to secure socially and materially necessitated levels of energy services in the home. Evidence from international research suggests that energy poverty is adversely linked to physical, emotional, and social well-being. We therefore ask the following questions: Who is living in energy poverty in Canada? What drives energy poverty? What are the experiences of the energy poor? What are the strategies in place to address energy poverty? First, we will examine recent Statistics Canada survey data to identify the prevalence of domestic energy poverty across Canada. Using statistical methods, we will produce robust indicators for benchmarking energy poverty in Canada. Second, we will complement top-down research with bottom-up research. Using qualitative methods, we will address the multi-dimensional nature of energy poverty. In doing so, we aim to profile the lived experiences of energy poverty. Last, we will evaluate the scope and context of energy poverty strategies in two Canadian cities. This will involve a critical analysis of research as well as a comprehensive search of strategies aimed at alleviating energy poverty, i.e., policies, tools, and programs. This project will also provide critical knowledge on the social dimensions of low carbon energy transitions. Specifically, it will question the kinds of policies that are used in low carbon energy transitioning and the social implications that are neglected in the process. Results will generate evidence-based knowledge, which can be mobilized to inform, improve, and facilitate equitable and coherent policy development.

Promoting Reconciliation through Research Collaboration between Xaaynangaa Naay and Northern Health Authority

Dr. Elizabeth Hartney, School of Leadership Studies (successful – includes research with Indigenous communities)

The proposed project builds on work begun in the CIHR-funded Planning and Dissemination Project in August 2017, which included a community-based, on-reserve consultation meeting with Haida Nation Elders, health leadership, Northern Health Authority, and the PI in the Skidegate community in Haida Gwaii, BC. The project was further developed in a follow-up presentation and discussion, held on the Haida Nation reserve in August 2018. Several key research priorities were identified, including: improving relationships between the Haida Nation Elders and Northern Health Authority leadership; addressing the need for culturally appropriate healthcare ethics; de-stigmatizing mental health and substance use; and, reconciliation.

Historically, the relationship between NHA and Haida Nation Elders has been distant, leaving the Indigenous community feeling disconnected from decision-making. Although Xaana Kaahlíi Ngaaysdli Naay GyaaGang, the Skidegate Inlet Health House Monumental Pole was raised this year outside of the local hospital as a positive symbol of reconciliation, this has not translated into meaningful reconciliation dialogue or activities between the community and the health authority. The Haida Gwaii community identified a previous pilot project involving an Elders' Council, which met during a series of Elders' Dinners, facilitated by two members of the proposed research team as the best approach to promote reconciliation. These monthly Elders' Dinners served a variety of functions, in particular facilitating culturally appropriate leadership, but were discontinued due to lack of funding from Northern Health Authority. The proposed project will facilitate and conduct research on the process of reconciliation between the ten clans of the Haida Nation and Northern Health Authority through a series of talking circles which will take place in a similar format to the Elders' Council, with additional participation of leadership from Northern Health Authority. The project will aim to build reconciliatory relationships to enable collaborative health leadership through a series of six talking circles over dinner.

As a project conceived by the Haida Nation community, this work will demonstrate a willingness to engage in reconciliation by the Indigenous community, as well as an important contribution to the research gap regarding best practices for reconciliation between Indigenous peoples and the mainstream health system in Canada.

Spaces, Places and Possibilities

Dr. Rob Newell, School of Environment and Sustainability (successful)

Spaces, Places and Possibilities is an ongoing research project based in Squamish, BC. It explores ways of combining urban systems modelling with visualization techniques to better capture and convey potential outcomes of land-use planning and infrastructure decisions to local government and stakeholders. The modelling aspect of this research involves examining different community scenarios and the possible outcomes of implementing certain community plans, policies and/or programs and taking a particular development path. The scenario exploration is guided by an integrated systems model, which recognizes relationships between different social, economic and environmental factors within a community. The model's output is then used to build interactive, realistic visualizations that users can navigate and experience from the first-person perspective in order to give them an impression what scenarios would look and 'feel' like if implemented in their community. The main objective of the research is to investigate challenges and opportunities around using urban systems models as a basis for building visualizations that can effectively engage and clearly communicate to users the benefits and trade-offs of different development paths.

The project involves three phases: (1) designing a community systems model and defining community development scenarios (complete), (2) using the systems model to calculate/estimate possible social, economic and environmental outcomes of the scenarios (expected completion: February 2019), and (3) creating tools for communicating outcomes of scenario modelling (the focus of this proposal). The first phase used a participatory approach to design the systems model and community scenarios. The researchers engaged with local government and stakeholders to better understand local planning challenges, values and aspirations for the community in order to create a model and scenarios that are both relevant and useful to the community. The second phase began in May 2018, and it applied the systems model to explore the community

development scenarios. The modelling explored factors such as access to amenities and education, walkability, food systems, transit, housing affordability, critical habitat, etc. In October 2019, the researchers presented the scenario modelling outcomes to local government and stakeholders, who provided feedback on the work. The feedback will be used to refine the model and scenarios in order to improve the relevance and usefulness of the work to the community.

The third phase is the focus of this application. It will involve creating tools for communicating outcomes of scenario modelling to diverse audiences, namely an interactive interface for the model outcomes and immerse visualizations. The model interface will be online, and users will be able to explore the scenarios, maps and respective modelling outcomes. The visualizations will allow users to walk through and experience the community scenarios from the first-person perspective, and it will be developed with a high degree of realism and a soundscape. Visualizations will feature three neighbourhoods identified through previous discussions with local government and community members as places that would be particularly changed by the development scenarios. Local government and stakeholders will meet to interact with the model interface and visualizations, discuss the scenarios, and comment on the effectiveness of the communication tools. Based on these discussions, the tools will be refined, and the final versions will be presented to the public in an open house event. The results of this work will enhance the community's understanding of the social, economic and environmental implications of developing Squamish in a certain way.

Investment Industry Regulatory Organization of Canada's Enforcement Performance

Dr. Mark Lokanan, School of Business (successful)

The Investment Industry Regulatory Organization of Canada (IIROC) is the national self-regulatory organization (SRO) responsible for policing investment dealers and brokerage firms that are involved in debt and equity trading in Canada's capital markets. Of late, however, the IIROC has been accused of light touch regulation for its failure to litigate and prosecute investment advisors who peddle investments and other cases of financial misconduct. Given IIROC's legal and accountability framework as the oversight body for certain aspects of market operations on the basis of self-regulation, this study seeks to evaluate IIROC's ability to promote ethical behavior and regulate in the public interest through administrative sanctions. The proposed study seeks to make two important contributions to the advancement of knowledge in financial market regulation. First, the Global Financial Crisis of 2008 triggered an ongoing assessment of the utility of self-regulatory systems in the financial industry. This assessment has driven financial supervision, regulation, and governmental policies. To date, such policy responses reflect a common recognition that the numerous and far reaching benefits associated with self-regulation are not without risks, particularly the risk associated with enforcement and the subsequent possibility of a future domestic and global financial crisis that accompanies "light touch" regulation, which can be harmful to public confidence in the market. Second, the study has the potential to unearth knowledge on the enforcement of complaints by SROs and apply that knowledge to domestic and global systemic jurisdiction where SROs continue to play a major role in regulating the securities market. There is a clear need to better understand the efficacy of SROs in the face of enforcement of securities fraud and transgression in financial markets/security trading in Canada. Such a topic is of academic and wider public and policy interest and will help illuminate issues related to self-regulation in Canadian securities markets. Canada is the only G7 country without a national securities regulator; its securities industry stands in stark contrast to the United States where one

federal regulatory agency, the Securities and Exchange Commission, has engaged in much stronger enforcement than is found in Canada.

Determinants Motivating Diaspora Entrepreneurs to Return to country of Origin

Dr. Ash Prasad, School of Business (successful)

Research on entrepreneurial motivation has grown exponentially in the fields of management, sociology, and anthropology in the last two decades. Much of the scholarly literature on entrepreneurs' motivation to initiate small- and medium-sized enterprises is based on empirical research conducted in advanced economies and tends to focus on financial considerations. Recently, scholars have identified noneconomic factors motivating entrepreneurial activities, including passion, autonomy, and the desire to establish work-family balance. Given the wide variance of motivations influencing entrepreneurship, and given how these motivations are informed by the institutional dynamics of the country context, there is a need to better account for how entrepreneurs subjectively understand meanings of success. This need is especially conspicuous in emerging economies that have, to date, been understudied. The proposed research will seek to respond to the gap in the current literature by focusing specifically on diaspora entrepreneurs, entrepreneur who settle in a foreign country but who maintain ties with their country of origin. Integrating and extending the extant literature on identity, institutional voids, and entrepreneurial motivations, the proposed research aims to achieve three objectives: 1) to conceptualize the motivations informing the decision of diaspora entrepreneurs to return to their country of origin to pursue ventures under conditions of institutional atrophy; 2) to understand how diaspora entrepreneurs define entrepreneurial and personal success, and; 3) to consider how diaspora entrepreneurs function as institutional change agents in their countries of origin. Outcomes of this research may have implications for the Canadian context as they may highlight the intrinsic needs of some diaspora entrepreneurs residing in Canada. These needs pertain to the desire to engage with entrepreneurship to not only advance the economy of their country of settlement, but also to improve the conditions of their country of origin. Understanding the saliency of these needs may lead to identifying new and innovative ways by which diaspora entrepreneurs can pursue ventures in Canada while collaborating with organizations in their country of origin to generate economic advancement in both countries. By expanding the existing knowledge on entrepreneurial motivations, new insights may be provided into how entrepreneurship can be better encouraged and sustained in Canada. This might translate into efforts to create public policy initiatives that connect entrepreneurship with individual personal values.

Interweaving Traditional Ecological Knowledge and ArtsBased Research Towards Environmental Reconciliation

Dr. Geo Takach, School of Communication and Culture (successful – includes research with Indigenous people)

This pilot project explores how interweaving arts-based research and Indigenous ways of knowing can help to create communication to encourage environmental reconciliation in Canada and abroad. This research recognizes that environmental justice is fundamental to sustainability. This work builds on my SSHRC Knowledge Synthesis Grant project on why and how Indigenous ways of knowing can help encourage Canada as a policy leader in both sustainable resource development and Indigenous reconciliation. It responds to gaps found in the literature. This project further engages the transformative potential of art-based research to engage and inspire action on critical, societal issues. This research has three overarching goals: (1) to connect environmental protection and Indigenous reconciliation, defined here as 'environmental reconciliation': environmental protection in ways that acknowledge, address and aim to redress imbalances in power among Indigenous people and settlers honestly, respectfully, openly and positively; (2) to weave together

the wisdom of Indigenous and settler knowledges, to raise our awareness and appreciation of our role as more than observers and consumers of nature, and also of our integral connection with nature as essential to the survival of all life on Earth; (3) to motivate people within and beyond academe to reverse the devastating harms we cause to the planet and to Canada's First Peoples. This research should engage diverse audiences due to the urgency, timeliness and priority of remedial action on environmental protection and Indigenous reconciliation for Canadians; the work's interdisciplinarity; and the transformative power of arts-based research. This work will be shared through a documentary film, conference and community presentations, and articles.

Improving Young Adult Cancer Care Through Meaningful Engagement with Young Adults and Cancer Care Allies in BC

Dr. Cheryl Heykoop, School of Leadership Studies (submitted)

Over 8000 young adults are diagnosed with cancer in Canada each year, representing 4% of all cancer diagnoses annually (1). In the context of cancer diagnosis and survivorship, the term "young adult" refers to patients diagnosed with cancer between the ages of 18 and 39; however, this definition is not universally applied (see lit. review). Currently, cancer care systems (including pre-diagnosis, diagnosis, treatment, survivorship, and palliative and end-of-life care) (2) have limited capacity to meet the complex needs of young adults with cancer. Furthermore, a focus on young adult cancer is generally underrepresented in cancer education and research (3); however, research indicates young adults have a clear understanding of how their care could be improved (1,4) and want to play an active role in doing so. Research is urgently needed to understand young adult cancer and tailor cancer care to address the complex, evolving needs of young adults (5).

This research project is led by two co-researchers from Royal Roads University (RRU) and InspireHealth who: were diagnosed with cancer as young adults; are currently young adults; and have lived experiences of their own cancer care. It was conceived through conversations with young adults living with cancer in British Columbia (BC) and cancer care allies (healthcare professionals, decision-makers and community organizations) and is aligned with BC's cancer care strategy.

Project collaborators include: BC Cancer, Young Adult Cancer Canada (YACC), BC Ministry of Health (MoH), BC SUPPORT (Support for People and Patient-Oriented Research and Trials) Unit, Innovation Support Unit (ISU) at UBC, Callanish Society, and young adults with cancer. Research questions guiding this work are:

1. How do young adults with cancer experience cancer care in British Columbia (BC)?
2. What are the key needs and priorities of young adults with cancer?
3. How can cancer care be improved to better respond to the needs and priorities of young adults with cancer?

Through meaningful partner engagement with young adults with cancer and cancer care allies from across BC, we seek to co-develop more integrated and responsive young adult cancer care that better understand and addresses the lived experiences, needs, and priorities of young adults with cancer.

Investigating the Integrative Capabilities of Canadian SMEs

Dr. Hassan Wafai, School of Business (submitted)

The proposed research will respond to two growing concerns about Canadian businesses: 1) the inability of most Canadian small and medium-sized enterprises (SMEs) to integrate into global value chains (GVCs); and 2) the poor innovative performance of Canadian business practices.

This research explores the notion that market impediments are no longer the only obstacle blocking Canadian SMEs from participating in GVCs. This research will explore and develop a model for understanding the organizational capabilities that Canadian SMEs need in order to participate in and upgrade through GVCs. It provides a conceptual framework for the relationship between organizational capabilities, innovation systems, and a firm's ability to integrate in GVCs. The researcher argues that this relationship will hold the promise for a better understating of how to support local industries to move toward modular and relationship types of governance, which promote knowledge and technology transfer. The research will further our understating of how to support Canadian SMEs to engage with non-USA markets.

Mixed methods will be used in the course of this research. Qualitatively, the research will employ the 'replication logic' of the multiple case study research strategy. Quantitatively, the research will adopt Structural Equation Modeling (SEM) to analyze the data generated from the Survey of Innovation and Business Strategy conducted in 2009 and 2011.

The 32 things not on the stat sheet: Connecting key qualitative leadership competencies and performance outcomes in sport

Dr. Jennifer Walinga, School of Communication and Culture (submitted)

Canada is facing a decline in sport Canada is facing a decline in sport participation in people 12 years and over from 46% in 1992 to 26% in 2010 (Vital Signs, 2016). Among the reasons cited for this decline are changing attitudes toward sport due to lack of enjoyment, cheating, harassment, negative behaviour from coaches and parents, pressure, lack of fair play, inequity, violence, and a focus on winning at all costs (Crane & Temple, 2015; Mulcahey, 2017). While in 2008, 85% of Canadians believed that sport participation contributes to the economic, physical, cultural, and leadership development of youth and the broader community (Mulholland, 2008), less than 20% believe the power of sport has been realized, and media representation of cheating, corruption, abuse, and violence in sport is affecting participation levels by negatively impacting the reputation and appeal of sport (CCES, 2010). How could we better mobilize the power and potential of sport in Canada?

Sport participation is generally seen as a vehicle for leadership development (Griffiths, Bullough, Shibli, & Wilson, 2017); however, simply participating in sport does not guarantee positive outcomes. Primary determinants of leadership development through sport include the quality of coaching and mentoring provided by parents, coaches, officials, and administrators which demands intentional strategies, policies, and programs (Mulholland, 2008). Increasingly, however, funding for national sport organizations (NSO's) hinges on gold medals (Own the Podium, 2018); winning takes priority over individual or community development. Recently, a review of Sport Canada's funding approach states "winning medals for Canada will always be important, but it cannot be the only measure of success" (Sport Canada, 2017). Recently, in describing Kyle Lowry's return from injury to the Toronto Raptors basketball team, coach Mike Nurse describes how while Lowry

finished with 12 points and 8 assists in a nearly 32minute shift, it's "about 32 other things out there you're not seeing that he's doing that don't get recorded on the stat sheet" (Zwelling, 2019). While others have identified 'soft' statistics such as passing and assists (McHale & Relton, 2018), there is a need to understand the ways qualitative leadership competence statistics – the 32 other things might actually enhance sport performance outcomes, and how we might create a more holistic model of sport designed to develop both performance and leadership excellence. This research aims to explore the role of leadership development through sport from two different perspectives: 1) from a high performance lens, it will examine leadership competence as a possible predictor of sport performance outcomes; and 2) from a human and social development perspective, it will explore the ways leadership development through sport can strengthen individuals, teams, and communities. The specific objective of this project is to review experiences of high performing Canadian athletes in order to better distill the leadership competencies that enhance success both within sport and beyond.

This research is the first to explore the links between the soft statistics of leadership competence, individual and team sport performance, and career and community outcomes. Greater knowledge and understanding of the link between leadership competence and performance excellence will help inspire a more holistic sport model in Canada. We will present findings at local, provincial, and national sport conferences and policy forums to guide and shape 'good sport' policy and programming decisions, serve a range of sport participants and help national sport organizations

Research Spotlight – Students

Gadgets and Grades: Perceived Influences of Computing Devices on Achievement in Online Distance Learning

Andrew Prince, MA in Learning and Technology

The relationship between humans and technology is ever-changing. From acquiring purpose-built technologies for our everyday needs to improvising solutions that address unique interests, many of us rely on a suite of technologies to help us achieve goals, go about our daily tasks, and for pleasure. Given the growing interest in technology from postsecondary institutions, and its essential place in online learning environments, Andrew wanted to examine the usage, utility, and perceptions of the devices learners use throughout their education in order to enrich our understanding of how, when, and for why people chose to learn with them.

In Andrew's thesis research, he surveyed actively enrolled master's-level learners in partially and fully online programs at a Canadian university to help establish the value of particular computing devices throughout the learning process. In his analysis, Andrew observed trends in the popularity of specific computing devices, determined the types of operating systems learners favored and the apps they relied upon in their studies. He also investigated learners' perceptions of their technology and the influence it had on their academic success.

Andrew's case study is an exercise in understanding and making sense of learners' perceptions of their technology towards determining the value of particular computing devices to online learners. His research also provides considerations for postsecondary program developers, instructors, and

administrators regarding implementations of technology and course design in online learning environments.

Facilitating the Development of International Student Engagement and Integration Plan

Dianne Whiten MacDonald, MA in Global Leadership

This capstone paper was an action research initiative which was conducted with international students at Mount Royal University (MRU) in Calgary, Alberta. The objective of this project was to develop an International student engagement and integration plan. Dianne MacDonald divided the project into seven sections: an executive summary, focus and framing, literature review, project implementation, finding, discussion, future programming and recommendations, and a conclusion.

Diane wanted to draw findings from the perspective of international students themselves. She used this paper to help her identify both the internal and external barriers that impede engagement and integration for international students studying at MRU. She took a look at issues confronting international students in acculturating to their new learning and cultural environments, and she considered what it takes to overcome academic and culture shock, as well as exposure to different teaching and learning styles, mismatched academic expectations, and socio-cultural pressures. By focusing on three themes (academic, social and cultural) she demonstrated the value of developing a culturally inclusive learning environment, and the importance of ensuring that student support services were able to meet the specific needs of individual international students and to facilitate their integration as global learners.

Dianne took the results of this research back to Mount Royal University where, as Director of International Education, she can help implement a framework for international student success in the International Student Engagement Centre within the Office of International Education.

Yvonne Armstrong, MA in Learning and Technology

Police officers often respond to calls involving persons in crisis (PIC) and at times the outcome of those interactions is not positive. Industry and government reports identify a need for improved training for police officers when interacting with PIC. Guided by two theoretical frameworks: experiential learning theory (ELT) and cognitive load theory (CLT) this research sought to answer the following question: *In what ways might the use of simulation training influence police interactions with persons in crisis (PIC)?*

The use of simulation to effectively educate adults requires a sound understanding of both ELT and CLT. Instructors need to consider the trainee, their experiences, and their environments. Using a qualitative meta-synthesis, the literature indicates that simulation is a useful tool to train police officers in managing interactions with PIC. Specifically, reducing the load on working memory leads to changes in long term memory which is beneficial when learning new skills.

With the advice of Dr. Terry Coleman, an expert in this field, Yvonne is currently in the process of submitting her research to published journals for publication.

Competency-Based Education for Student Development in Vocational Education and Training

Lori Kemp, MA in Learning and Technology

Through her experience as an instructor in a skills-based diploma program, Lori recognizes that students acquire competencies at different rates, through different experiences, and to varying degrees of proficiency. This dilemma inspired Lori to explore personalized competency-based education (CBE) as a potential means to enable continual student development in vocational education and training (VET) programs.

The research findings revealed principles of curricular design aimed at promoting a comprehensive perspective of competency development as the integration of knowledge, skills, and attitudes needed to perform in specific vocational domains. As a result, Lori developed a comprehensive competency development model to illustrate the learning process in this context, and to guide educators and program planners in the design of CBE for VET.

Faculty and staff at Olds College have shown interest in Lori's research and in particular in the CBE learning model. Conducting CBE for VET research has also lead to the opportunity for Lori to work with instructors in Kenya on a *Kenya Education for Employment Program* (KEFEP) project in partnership with *Colleges and Institutes Canada* (CICan).

Lori continues to facilitate learning in the Apparel Technology program at Olds College. She is excited to also be leading a curriculum planning project for the college. "I have always enjoyed working with curriculum and having completed the MALAT program allows me to approach that work with a more holistic perspective."

Quality Education in Remote Nepal

Gary W. Hayes, MA in Global Leadership

Open access technology and educational software has the potential to help close education and disparity gaps for developing nations. Under the supervision of Dr. Wendy Rowe, Gary W. Hayes investigated the process by which stakeholders (from public, to private, to social and NGOs) come together to introduce educational technology. In this case, he studied the introduction of the software at two remote villages in the Himalayan country of Nepal.

Working with a multinational non-profit, a local social benefit organization, a trekking company, and schools in the communities of Chalise Goan and Khading, Gary spent three months studying on site in Nepal. He focused on understanding the importance of local culture, capacity building, developing local ownership, and facilitating iterative cycles designed to adapt emergent learning into project management strategies. His goal was to help improve the likelihood of sustainable access to the software.

Gary's work has assisted a Canadian non-profit organization in developing a life cycle plan that is receptive to local needs and mindful of responsible "voluntourism" practices. He contributed his findings to the MAGL program's *Building Strategic Partnership in and Collaborations in Global context* presentation to RRU's Ecuadorian Military partners in Quito, Ecuador. Alongside RRU's Dr. Wendy Rowe, and Wanda Krause, Gary also presented his finding during a panel discussion at the IDEAS conference, which focused on Evaluation for the Sustainable Development Goals, and took place in Guanajuato, Mexico in 2017.

A Systems Thinking Approach to developing targeted strategic solutions to better systemic environments

Laurie Jensch, Master of Arts in Educational Leadership and Management

Laurie Jensch's research project utilizes a systems thinking approach to diagnosing root causes of issues by mapping of an Albertan school in an ordered network, and analyzing the effects of implemented changes made to the network through a mixed method tool, thereby enhancing strategic decision making, and responsible resource management.

Jensch's project investigates the combining of two different methodologies, the first is a mapping survey tool called *Kumu*, which through work initiated by Milgrom-Elcott and Berlow (2018) identifies root causes defined as highest leverage problems. Explores their interconnected relationships or causal links, which allows for a clear picture of the collective stakeholders' voice. The second process called *SenseMaker*, created by a company called CognitiveEdge, which employs a storytelling approach, allowing for narrative data collection to be self-interpreted by the participants, thus avoiding researcher bias. This tool has the added benefit of generating meta-data which can be quantified into visual graphical displays while still keeping participants' stories in their raw form, intact. Laurie's approach was partly inspired by M. Jenal, an independent economic consultant, who states "patterns of change far beyond any hypothes[es] can be scanned allow[ing] us to see parts of the system that we would not have noticed." Laurie found that this tool has the added advantage of testing beliefs of a system, analyzing implemented changes, and helping researchers see if these changes have been embedded in the system.

Using these two system builders combined in an innovative way, Laurie's approach can help stakeholders to sense their context, have insight to unseen issues, and provide focused strategic solutions to solve deeper systemic issues, allocating resources to bring about the positive change in their organizations. Laurie foresees possible extensions of this project, including targeted, school district-wide changes where school issues are mapped, with its unique culture protected, commonalities discovered, and district strategies improved.

2018-19 Student Research Awards

Award Type	Number of Recipients	Funding Amount
SSHRC Doctoral Fellowships	1	\$30,000
Tri Agency Canada Graduate Scholarship Masters	5	\$87,500
Mitacs Accelerate Fellowships	7	\$300,417
Total received in student research awards	14	\$447,917

Research Ethics

The Office of Research Ethics provides education and awareness around all aspects of research integrity and academic integrity and misconduct. The Research Ethics Board (REB) is comprised of 28 members; most have doctoral degrees, and two are community members. The process is a delegated one, with minimal risk research being reviewed by one REB member rather than the full board. The REB continues to meet at regular intervals to discuss changes to the Request for Ethical Review form, examine case studies for educational purposes, and discuss research ethics issues.

In FY2018-19, the REB reviewed a total of 389 new applications and enhanced review processes for research involving vulnerable participants (including children and youth), which now requires review by the Office of Research Ethics, a minimum of two REB members as primary reviewers, and the wider REB if necessary. Guidelines for Research Involving Indigenous People have been drafted, and will be presented to the REB for formal adoption on June 7th. The Office of Research Ethics is a member of Canadian Association of Research Ethics Boards (CAREB). In FY2018-19, the office (which consists of two staff members) conducted 23 in-person presentations to student groups and responded to hundreds of email inquiries from students, faculty, and staff. The Research Ethics office provides ongoing support to students and faculty at all stages of their research, covering conflict of interest, FOI/POP, handling sensitive data, use of the RRU logo, research permits/licenses, research involving animals, and other REBs and liaison.

RRU is the board of appeal for BCIT and Pacific Coast University for Workplace Health Sciences; Vancouver Island University is the board of appeal for RRU.

In response to the Program and Research Council's stated interest in highlighting research and scholarship pertaining to Indigenous topics, the following is a listing of student and faculty research ethics applications for Indigenous-focused research in FY2018-19.

Student Research

1. Ana Adamik, MATM: *Indigenous Peoples of Talamanca, Costa Rica, perceptions of tourism impacts to their community*
2. Sarah Anstie, MALEAD: *A Review of the out-of-territory (OTT) Pre-Placement Review process for Addictions and Mental Health treatment for Nunavummiut*
3. Charleen Austin, MALEAD: *Appreciating Community Partnership in the Modernization of Healthcare in Nunavut*
4. Cheryl Beitel, MALEAD: *Assessment methods for Indigenous candidate recruitment in the Government of Alberta*
5. Lisa Bighead, MALEAD: *Helping Indigenous Students at First Nations University of Canada Thrive*
6. Lindsey Boechler, MALEAD: *Mapping the Success Route for Indigenous Paramedic Students at Saskatchewan Polytechnic*
7. Cary-Lee Calder, MALEAD: *Reclaiming Kwakwaka'wakw Mental Health and Wellness Cultural Practice*
8. Bushra Choudhry, MALEAD: *The Indigenous experience at Aspen*
9. Shirley Conrad, MAPC: *Paradigm of Identities - An Indigenous Woman's Journey as an Indian Residential School Survivor*
10. Adam Gray, MALEAD: *Developing an Indigenous Engagement Strategy at North West Redwater Partnership*
11. Lee Halford, MALEAD: *How Southeast College Might Better Prepare Its Indigenous Students For Employment*
12. Michelle Hawco, MALEAD: *A comprehensive review and recommendations of the Working Relationship Agreement (WRA) between the Innu Round Table Secretariat (IRTS) and Provincial Department of Children Seniors and Social Development (CSSD)*
13. Arvinder Kalsi, MBA: *Indigenous Diversity at GetNuvola Systems*
14. Beth Keats, MAIS: *Inclusion of Indigenous Knowledge in Resource Decision-making*
15. Michelle Kisil, MALEAD: *A Collaborative Approach to Enhancing Support to Indigenous Youth*
16. Lorraine Meneen, MALEAD: *Incorporating Indigenous Traditional Medicine in Primary Health Care Southern Alberta*
17. Lauren Remple, MAGL: *Global Indigenous Exploration Learning Module*
18. Karen (Cara) Taylor, DSocSci: *Building Intercultural Competence: Bridging Western and Indigenous Education Through Narrative*
19. Julia Trops, MAIS: *Bridging Cultures*
20. Christine Webster, MALEAD: *Traversing Culture and Academy*

Faculty/Staff Research

1. Geoff Bird, Associate Professor, School of Tourism and Hospitality: *Conflict, Reconciliation and Indigenous Tourism in Canada*
2. Kathy Bishop, Associate Professor, School of Leadership Studies: *Indigenous Alumni Survey*
3. Elizabeth Hartney, Professor, School of Leadership Studies: *Developing Elders Support through Trauma Informed Emergency Departments (DESTINED)*

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Royal Roads
UNIVERSITY

PROGRAM AND RESEARCH COUNCIL

BRIEFING NOTE

MEETING:	30 May 2019
AGENDA ITEM:	Quality and Student Satisfaction Measures
SPONSOR:	Steve Grundy, Vice-President Academic and Provost
PURPOSE:	For information

The following report provides an update on internal and external feedback initiatives as annually provided in the reporting cycle for the Program and Research Council.

Student feedback plan

The student feedback plan was reviewed in 2018-2019 and confirmed (attached as Appendix A). This framework provides regular ongoing student input on quality and satisfaction through both internal and external measures.

Internal self-report student data

Course evaluation surveys

Students are invited to complete an anonymous online course evaluation survey for every for-credit course. These surveys are embedded in the Moodle course shell and are opened shortly after the course starts so that students can record their observations throughout their learning experience; the faculty member cannot access this data. Once completed, student feedback is compiled by the Program Office where three abridgment levels are prepared. Faculty members can review their own results, maintaining the privacy of others where courses are taught by more than one faculty member. All data is available to Deans and School Directors along with any related comments made by the faculty member who has reviewed the student feedback. In respect of the privacy of faculty peers as provided for by the collective agreement with the Royal Roads University Faculty Association, program heads have access only to feedback for courses taught by associate faculty members.

Student feedback is a critical component in annual program reviews and five-year external program review process and has been included in considerations of decisions related to reappointment, merit and promotion. Student response rates to course evaluation surveys are declining across the higher education sector and Royal Roads is no exception to this. Faculty here at Royal Roads have observed that this method of soliciting student feedback that was once a conducted at a single point in time in a face-to-face classroom does not necessarily translate to the online environment and that perhaps

there are other approaches and technologies that might provide more robust feedback. Additionally, in September 2018 an arbitrator of the Ontario Labour Relations Board ruled that course evaluation surveys were not valid indicators for use in decisions of faculty promotion in response to a grievance brought forward by faculty at Ryerson University in 2009. The arbitrator noted that these instruments often measure factors other than faculty performance, referring to the context in and methods by which they are administered, and evidence of bias related to age, attractiveness, ethnicity and gender. A faculty working group has therefore been convened by the Centre for Teaching & Educational Technologies to explore innovative ways that are more responsive to today's students, learning contexts and technologies to solicit course-specific student feedback.

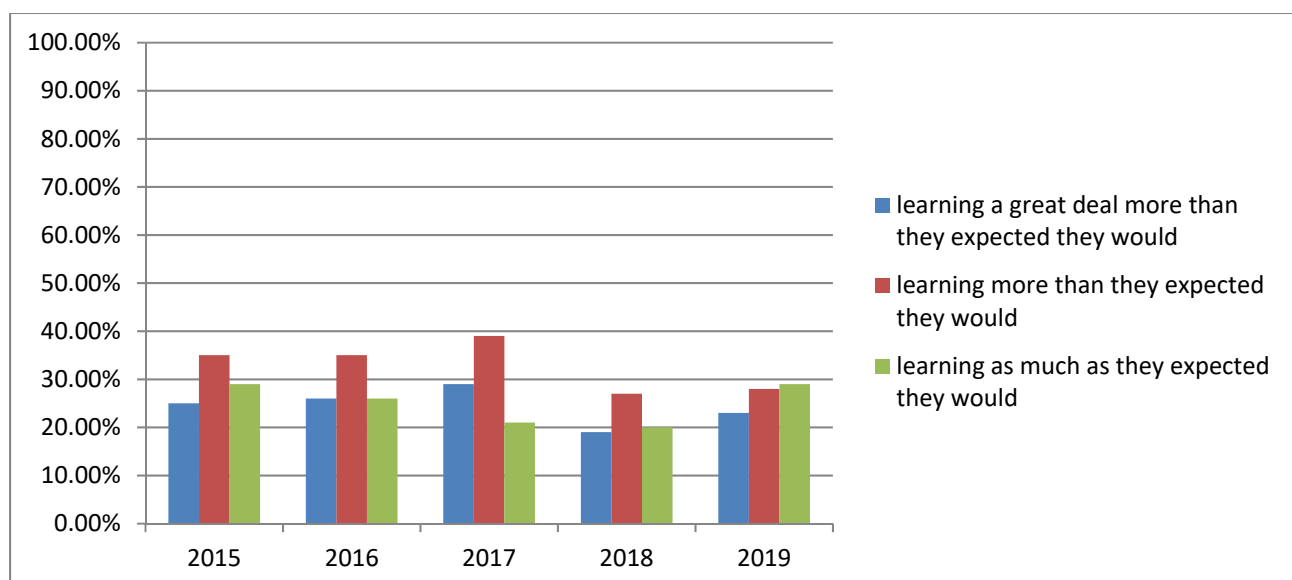
General student surveys

An institutional instance of SurveyMokey was implemented in January 2019 to replace the former platform that was no longer supported by the vendor. In anticipation of this, a working group was struck in September 2018 to review the existing student feedback surveys that are regularly administered, and changes were implemented in March 2019. All Royal Roads students in credential programs receive the "Student Feedback Survey – Now that you've started your program" 60 days after their program start that invites them to reflect on their preparedness, early impressions of their learning experiences and supports available to them and asks questions relevant to marketing and recruitment. Thirty days before the end of their last course, students receive an invitation to complete the "Student Feedback Survey – Nearing the end of your program" which asks students to reflect on their experiences and to offer their feedback and suggestions. Selected key indicators of student satisfaction over time are highlighted below. Work is ongoing to analyse and respond to these results.

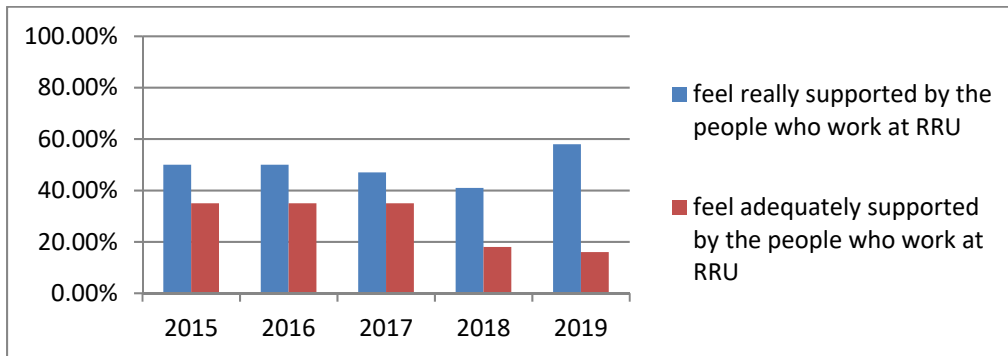
Student Feedback Survey – Now that you've started your program

These charts summarize responses to the Student Feedback Survey – Now that you've started your program and include data from questions that were included in the first and revised versions of this instrument, spanning 2014-2015 through to 2017-2018.

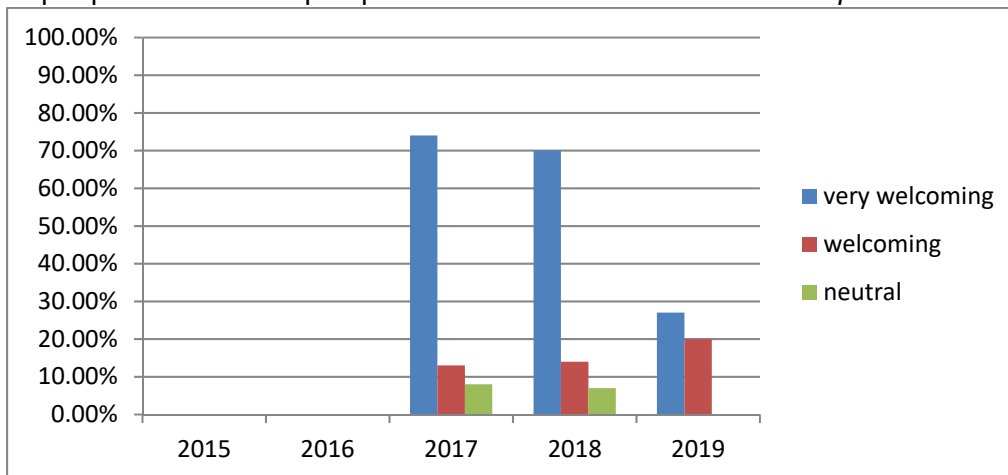
How much do you think you are learning in your program right now?



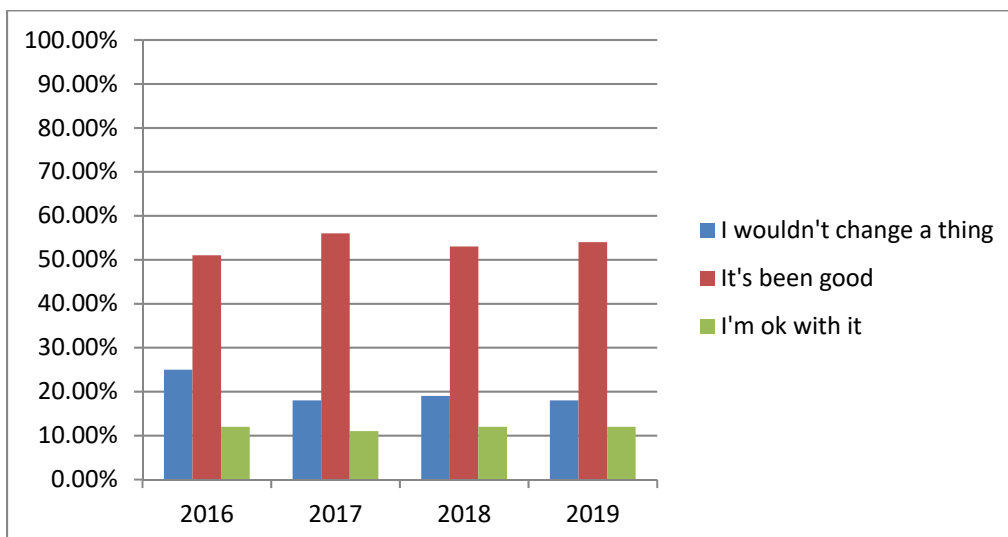
How supported do you feel by the people who work at RRU (i.e. staff and faculty)?



In your experience so far, to what extent has RRU provided a welcoming environment that is inclusive of people with diverse perspectives and identities? *NOTE: This question was introduced in 2017.*



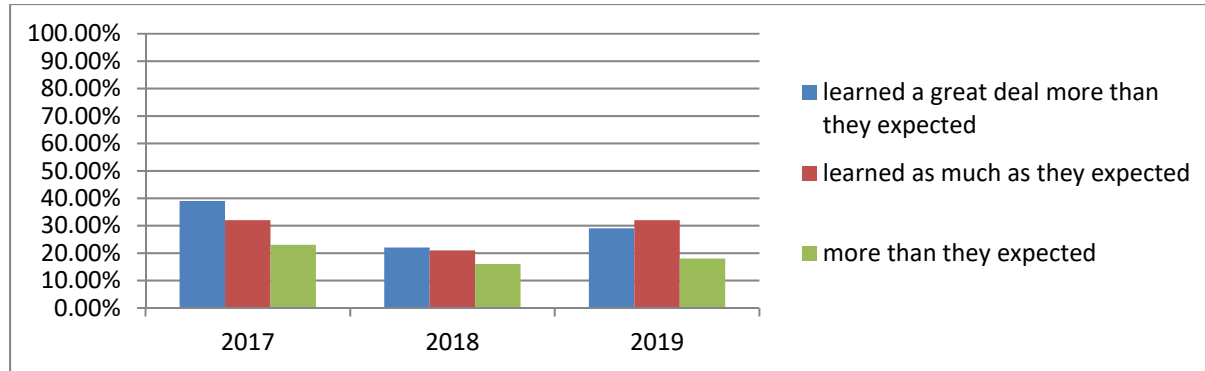
Overall, how have you found your RRU experience?



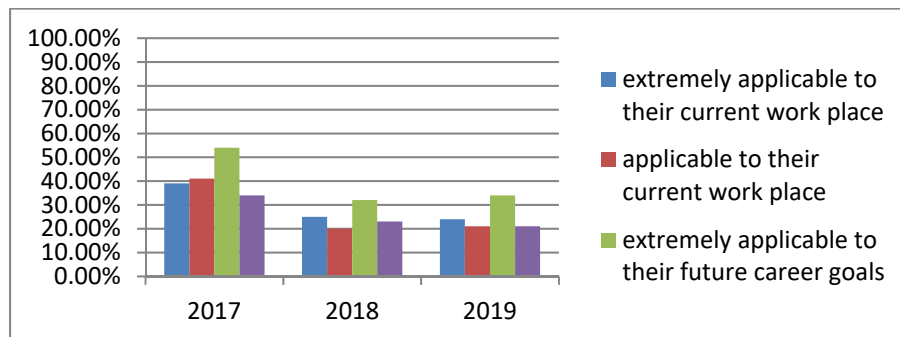
Student Feedback Survey – Nearing the end of your program

The following charts illustrate responses to the Student Feedback Survey – Now that you're nearing the end of your program. This was launched in 2016-2017 and thus data are available for the last two fiscal years.

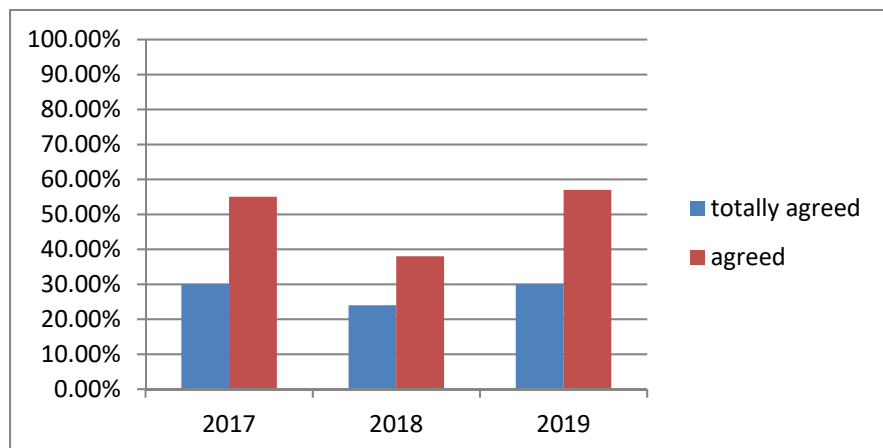
How much do you think you have learned from your program?



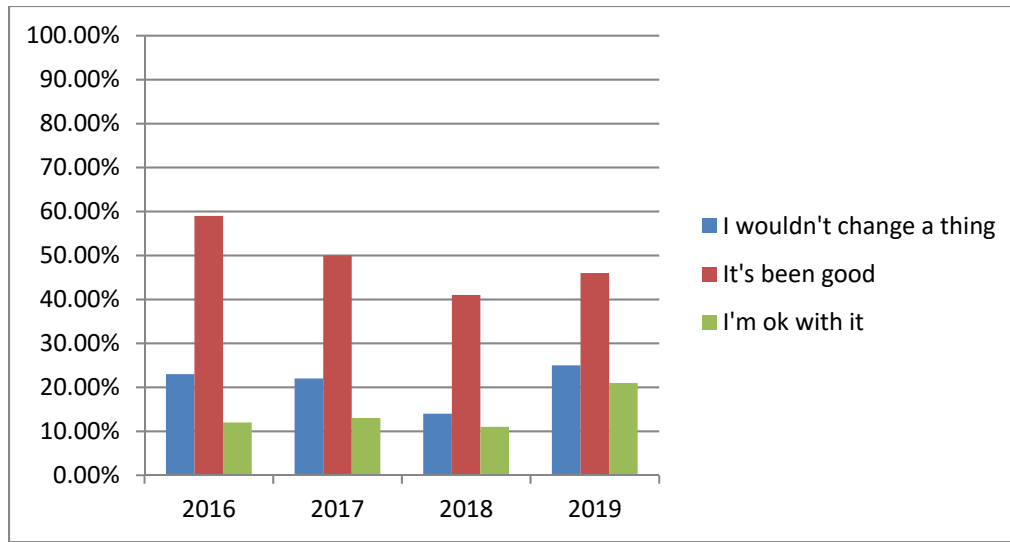
How applicable has your learning been to your work or life so far?



It has been evident that my courses are designed to meet their learning objectives.



Overall, how have you found your RRU experience?



Special population survey: Voluntary withdrawals

Royal Roads continues to survey students who have voluntarily withdrawn in the intervening period twice a year. Respondents are asked to share their reasons for their withdrawal, whether there was anything that the university might have done to prevent their withdrawal, and whether at the time of response they anticipate returning to study. Reported reasons for voluntary withdrawal are consistently related to issues of life circumstances, program fit, and personal financial constraints. The survey also includes an option at the end where respondents can indicate if they would like someone from the university to follow up with them. Though very few do take this option, follow up is conducted by Student Services staff and their interactions frequently contribute to student re-enrollment.

External self-report student data

National Survey of Student Engagement (NSSE)

As reported to Council in May 2018, a recommendation to discontinue participation in the NSSE was made and subsequently approved. Royal Roads University had participated in this survey of undergraduate students across Canada and the United States approximately every two years for over a decade, but response rates were too low to provide generalizable results for the last two administrations of this survey. The predominance of international students in undergraduate programs was thought to be a contributing factor to this and the intervening variables that this population introduces makes it difficult to compare results with those of other institutions where there is a more heterogeneous mix of respondents and the majority represent the dominant culture for which the survey instrument was created. Further, as the NSSE is predicated on traditional delivery models on traditional campuses, the validity of some of the questions was compromised as they are interpreted in the RRU context.

Canadian Professional and Graduate Student Survey

The Canadian Association for Graduate Studies survey is conducted every three years and was just administered to students in graduate programs in Winter 2019. Results will be available for the next report to Council.

Ministry of Advanced Education and Skills Training – provincial student housing demand survey

Student Services, working with the AVP Resilience and Operations, administered Royal Roads' participate in a provincial survey on student housing demand conducted at all 25 BC post-secondary institutions. Results of this survey will inform both the provincial demand for student housing and institutional results will be extracted as well, providing additional insight into the current student accommodation initiative already underway in the Vice President & CFO portfolio.

Student Experience Feedback Plan

Internal Surveys

All Students	
Feedback on specific courses	What: Course evaluations Surveys of student evaluation of learning experience and instructor performance
	When: Available at course opening and open throughout course
	How survey is administered: Link embedded in Moodle shell for each course
	How results are shared: Results are reviewed by the instructor and university administration at the end of each course; response data is then compiled to create an overall quality assessment for annual and five year external program reviews
	Who: Lead: VPA & Provost, Deans Support: Program Offices, CTET , Office of the Registrar
Feedback on general experiences	What: Student Feedback Surveys <ul style="list-style-type: none"> - Now that you've started your program - Now that you're nearing the end of your program Surveys of student experience – two versions – one at beginning and one at end of program of study
	When: <ul style="list-style-type: none"> - Now that you've started your program = program start date + 60 days (30 days for graduate certificate students) - Now that you're nearing the end of your program = last course end date – 30 days (14 days for graduate certificate students)
	How survey is administered: E-mail auto-generated from Agresso sent with template invitation including link to appropriate standing survey
	How results are shared: Survey data extracted biannually and shared with ALT Core members, School Directors and Marketing for dissemination as appropriate
	Who: Lead = AVP, SAS Support = Administrative Coordinator; ALT Extended; Director, Student Services; Manager, Indigenous Education & Student Services, Contract support –analysis

Special population surveys	
Voluntarily Withdrawals	What: Survey sent to students who voluntarily withdraw
	When: Biannually (Spring and Fall)
	How survey is administered: List generated by Office of the Registrar and reviewed and edited by Student Services E-mail sent to students with link to survey
	How results are shared: Survey data extracted biannually and shared with VPA & Provost and Deans for dissemination as appropriate
	Who: Lead = Administrative Coordinator Support = AVP, SAS; Director, Student Services

External Surveys

Undergraduate	Graduate
What: Baccalaureate Graduate Survey Undergraduate alumni of BC institutions are surveyed about satisfaction, financing their education and employment outcomes	What: Canadian Graduate and Professional Student Survey (Canadian Association of Graduate Studies)
When: two years <i>and</i> five years after graduation	When: Approximately every three years
How survey is administered: BC Stats manages the collection of data	How survey is administered: E-mail sent to students with link to external survey
How results are disseminated: Institutional results are available online at http://outcomes.bcstats.gov.bc.ca/BGS/BGSPublications.aspx .	How results are disseminated: CAGS sends compiled report to Director, Student Services Director, Student Services forwards to VPA & Provost and AVP, SAS for dissemination as appropriate Director, Student Services liaises with Communications for information/media release
Who: Lead: Ministry of Advanced Education, BC Stats and the BC Student Outcomes Research Forum Support: Office of the Registrar	Who: Lead = Director, Student Services AVP, SAS; IT Services; Office of the Registrar

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BOARD OF GOVERNORS BRIEFING NOTE



MEETING:	Governance and Nominating Committee meeting, 04 June 2019
AGENDA ITEM:	Report from the Advisory Committee on Prevention and Response to Sexual Violence
SPONSOR:	President Philip Steenkamp
PURPOSE:	For Information

Discussion:

The Board's policy on Sexual Violence and Misconduct (policy number B1260) requires annual reporting to the Board of Governors on the work of the university in support of the objectives of the policy. The 2018/19 report from the Prevention and Response to Sexual Violence Advisory Committee is provided to the Governance and Nominating Committee in fulfilment of these reporting requirements and is attached to this briefing as Appendix A.

Recommendation:

That the committee receives the report for information.

Prevention and Response to Sexual Violence at Royal Roads

Report of the Advisory Committee – 2018 - 2019

The Advisory Committee

The Prevention & Response to Sexual Violence Advisory Committee completed its first year as a standing committee in 2018-2019 with the mandate to bring together a range of university community members to identify and recommend strategies to improve policies and processes in relation to sexual violence awareness, prevention and response.

Members included:

- Ali Blythe, Communications
- Carolyn Rakka, Undergraduate student (RRUSA – from December 2018)
- Don Burrows, CUPE member
- Dranna Andrews-Brown, Gwen Campden, Sarah Chettleburgh, CARE Team members
- Jean MacGregor, Communications Manager
- Karen Hakkarainen, Manager, Board Governance & Planning
- Karie Langejan, HR representatives as designated by HR
- Kyla McLeod, Director, Student Services
- Lois Fearon, Faculty member
- Michelle Hamilton Page, Graduate student
- Negar Abedikhorasgani, Undergraduate student (Royal Roads University Student Association (RRUSA) – to October 2018)
- Paris Carr, Joint Occupational Health & Safety Committee member
- Rob Cox, Security Supervisor
- Roberta Mason, Associate Vice President, Student & Academic Services (co-chair)
- Susanne Green, Associate Faculty member
- Terrie Klotz, Associate Vice President, Human Resources (co-chair)

Advisory Committee activities

The Advisory Committee met four times during the fiscal year. Action notes of meetings are posted on the Sharepoint site

at <https://staff.myrru.royalroads.ca/services/sas/endingsexualviolence/Shared%20Documents/Forms/AllItems.aspx>.

Follow up to recommendations from 2017-2018 was completed, including:

- The Advisory Committee was formally established with confirmed Terms of Reference.
- An internal communication action plan was created and confirmed.

- The Student Engagement Team recruited student volunteers who completed a train the trainer program, developed workshops and maintained strong working relationships with the RRUSA.
- Training and education for staff in roles directly related to this work continued with internal funding, particularly the CARE Team and Human Resources staff.

The only recommendation that was not pursued this year was to establish a formal relationship with the Victoria Sexual Assault Centre (and Men's Trauma Centre as appropriate), committing an appropriate annual contribution in recognition of this. This was delayed as the Committee continued to work through the best operational support model.

In addition to this work, the following initiatives were also undertaken:

- Reviewing incidents as they arose with utmost respect for confidentiality, a recommendation was made to make an addition to the Protocols to insert language to clarify that a report will not be investigated while a police investigation is underway.
- The internal communication action plan was reviewed and work undertaken to action elements consistent with that plan.
- The Sexual Violence Education web site was launched with a series of communications in December 2018, featuring the online modules produced as part of the joint project of the Research Universities Council of British Columbia (see <https://commons.royalroads.ca/sexualviolenceeducation/>).
- A new module in RRU LaunchPad, Royal Roads online student orientation, was developed to link to the Sexual Violence Education web site.
- A general workshop was developed for students; one workshop took place in Q4 of 2018-19
- Five students have been trained as Peer Leaders to facilitate these workshops on a quarterly basis in 2019-2020.
- A face-to-face workshop for International Student Orientation was developed, to be launched starting in Q1 of 2019-2020.
- Informational handouts for students with links to RRU Resources have been developed and are now distributed to students at different Student Engagement and Student Success events.
- The Associate Vice President, Human Resources and the Associate Director, Recruitment and Organizational Development attended the [Sexual Violence in Higher Education Conference and Workshop](#) in August 2018.

Disclosures and reports

Noting that the details of these are kept strictly confidential and not shared with members of the Advisory Committee, three disclosures and two reports were received in 2018-2019 for a total of five incidents presented for response related to sexual violence and misconduct. Of the disclosures, two were of sexual assault and one was related to harassment. In two cases the survivor accessed Counselling Services and in one case a student was given academic extensions and supported with a new academic plan (shift from on-campus to online). The two reports both pertained to allegations of sexual assault that took place off campus. One of these was determined to be outside of the jurisdiction

of the policy and one was sent to an external investigator and is still under investigation. In both cases, students were supported by Counselling Services and academic extensions were provided to the survivor in the case under investigation.

Priorities for 2019-2020

In the coming year the Committee will continue to review current practices and identify and recommend actions for continuous improvement and to raise awareness and educate our university community. One promising lead that the Committee will pursue is the adaptation of an online self-paced module on responding to disclosures that was developed as an open resource for the Ontario higher education sector (see <http://respondingtodisclosuresoncampus.com/>).

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FINANCE & AUDIT COMMITTEE**BRIEFING NOTE**

MEETING: JUNE 4, 2019

AGENDA ITEM: 2018 KPMG MANAGEMENT LETTER AND MANAGEMENT RESPONSES

SPONSOR: CHERYL EASON, VICE PRESIDENT & CHIEF FINANCIAL OFFICER

PURPOSE: INFORMATION

BRIEF DESCRIPTION OF AGENDA ITEM

The purpose of the briefing note is to provide updated management responses related to the 2018 KPMG management letter.

BACKGROUND

In planning and conducting their audit of the consolidated financial statements of Royal Roads University for the year ended March 31, 2018, independent financial auditors KPMG provided control observations and recommendations. Management presented the management letter and management responses at the June 7, 2018 and November 29, 2018 Finance and Audit Committee meetings.

KEY CONSIDERATIONS

There were three control observations and recommendations highlighted which related to identifying and tracking related party transactions, the Whistleblower Policy and Disaster Recovery Plans. Further work has been done to address the management letter points since the June 7, 2018 meeting. The table below contains the management letter points raised and management's updated responses.

At the May 13, 2019 Finance and Audit Committee meeting, there were no control observations and recommendations identified related to the 2019 KPMG management letter.

Topic	KPMG Recommendation	Management's Updated Response
Related Party Relationships and Transactions	<p>We recommend the development of a formal policy supporting the implementation of a declaration of any related parties and related party transactions for those identified as key management personnel and their close family members. This process could be synchronized with the timing of the information gathering of related party transactions for Board members.</p> <p>A register of all identified related parties should be kept and reviewed to support the</p>	<p>Management agreed with the development and implementation of a formal policy and process for the annual identification of related parties and related party transactions for key management personnel and their close family members.</p> <p>The Board of Governor's Code of Conduct was revised to require annual reporting by the Board members of any transactions that they or their close family members entered into during the previous fiscal year where the transaction value was different than fair value. Or, if a transaction</p>

	monitoring for appropriate treatment of any related party transactions in the period.	<p>was entered into at other than fair value, a requirement to provide the nature of the transaction and the agreed upon consideration. The Vice-President & Chief Financial Officer implemented a similar annual declaration process for the Executive.</p> <p>Since implementing this revised policy and process, key management personnel (Board members and Executive) have confirmed that there were no transactions entered into by themselves or close family members at a transaction value that was different than fair value.</p>
Whistleblower Policy	We recommend that the whistleblower policy be reviewed and updated if necessary, and appropriately communicated to staff. Such a policy reinforces the 'tone at the top' established by management and supports timely resolution of conflicts within the organization. The whistleblower policy should include the processes for appropriately escalating issues internally and possibly externally.	<p>Management agreed that the Whistleblower Policy and Procedures should be reviewed, and consideration should be given to clarifying options for external escalation.</p> <p>Management has prepared a revised Whistleblower Policy and Whistleblower procedures and has identified some potential options for external escalation. The revised policy and options for external escalation will be presented at the September 2019 Finance and Audit Committee meeting.</p>
Disaster Recovery Plan	We recommend a disaster recovery plan is established to outline activities in the case of an emergency and include areas such as various servers and their data recovery, infrastructure to recover, and student services recovery.	<p>Management agreed that a broader Disaster Recovery Plan needed to be developed and tested. During 2018/19, the IT disaster recovery plan was reviewed and updated to address recovery of on-premise servers and applications.</p> <p>As a result of that review, the full backup data repository is now copied to an offsite location and updated monthly through the fiscal year. The Information Office will continue to manage offsite location backups while implementing a dedicated offsite backup and recovery infrastructure in 2019/20.</p>

RECOMMENDATION

That the Finance and Audit Committee receives this report for information.

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FINANCE & AUDIT COMMITTEE**BRIEFING NOTE**

MEETING: JUNE 4, 2019

AGENDA ITEM: 2018/19 FREEDOM OF INFORMATION/PROTECTION/PRIVACY YEAR-END REPORT

SPONSOR: CHERYL EASON, VICE PRESIDENT & CHIEF FINANCIAL OFFICER

PURPOSE: CONSENT INFORMATION

BRIEF DESCRIPTION OF AGENDA ITEM

Provide information on the Freedom of Information (FOI) requests received by Royal Roads University in the 2018/19 fiscal year.

KEY CONSIDERATIONS

The university received two FOI requests in 2018/19 and responded in a timely manner. This compares to three FOI requests in 2017/18 and seven FOI requests in 2016/17. The information requested by the applicants in fiscal 2018/19 related to emails sent from a specified individual and purchasing information for Royal Roads.

Summary of FOI Requests

2018/19 FOI Requests		
Applicant	Scope of Request	Comments
Public Body - Ministry of Advanced Education, Skills and Training	Request from MAEST for RRU to provide recommendations regarding communications between Michael Eso and Allan Cahoon. Information provided was all emails sent from Michael Eso, Ministerial Advisor, excluding attachments. (Date range for record search: 10/01/2018 to 12/31/2018).	Recommendations provided – minimal redactions applied under section 22 (disclosure harmful to personal privacy).
Individual	Purchasing information from Royal Roads University for purchases made from 1/1/2010 to present. The information included: 1. purchase order number or equivalent; 2. purchase order date; 3. line item details; 4. line item quantity; 5. line item price; 6. vendor name; and 7. delivery address.	List provided to applicant in full.

RECOMMENDATION

That the Finance and Audit Committee receives this report for information.

FINANCE & AUDIT COMMITTEE BRIEFING NOTE



MEETING: JUNE 4, 2019
AGENDA ITEM: GOVERNMENT REPORTING ENTITY 2018/19 COMPLIANCE REPORT
SPONSOR: CHERYL EASON, VICE-PRESIDENT & CHIEF FINANCIAL OFFICER
PURPOSE: CONSENT INFORMATION

BRIEF DESCRIPTION OF AGENDA ITEM

Summary Government Reporting Entity (GRE) requirements (Appendix A) for the period April 1, 2018 to March 31, 2019.

KEY CONSIDERATIONS

All GRE reports have been filed, confirming that Royal Roads University is compliant with its reporting requirements as outlined in the following table:

REPORTING REQUIREMENTS COMPLETED FOR FISCAL YEAR 2018/19			
Report Title	Subject	Board Approval Required	Frequency
Ministry of Advanced Education, Skills and Training (MAEST)			
2017/18 - Quarterly Cash Flow Projection Reports for Capital Projects (Quarter 4)	Capital		Quarterly
2018/19 - Quarterly Cash Flow Projection Reports for Capital Projects (Quarters 1-3)	Capital		Quarterly
2017/18 Routine Capital/Capital and Carbon Neutral Capital Program Accountability Reporting	Capital		Annually
2018/19 Five-year Capital Plan Request	Capital	Yes	Annually
2018/19 Strategic Investment Fund 'Actuals' Reports	Capital		Monthly
2018/19 Strategic Investment Fund QPR - Quarterly Financial Forecast for SIF Projects	Capital		Quarterly
2018/19 Strategic Investment Fund Close-out Report and Audit	Capital		One time
2017/18 Year-End Financial Reporting - Audited Financial Statements	Finance	Yes	Annually
2017/18 Quarterly Appendix C: Year-End Financial Information (GRE) (draft and final)	Finance		Annually
2018/19 Quarterly Appendix C: Year-to-Date Financial Information (GRE)	Finance		Quarterly
2017/18 Year-End Related Party Disclosure	Finance		Annually
2017/18 Statement of Financial Information Submission (SOFI)	Finance	Yes	Annually

Report Title	Subject	Board Approval Required	Frequency
Ministry of Advanced Education, Skills and Training (MAEST)			
2017/18 Supplementary Financial Information Reports (SFIR)	Finance		Annually
2018/19 Quarterly Financial Forecasts (GRE)	Finance	Yes	Quarterly
2017/18 Institutional Accountability Plans and Reports (IAPR)	Governance	Yes	Annually
2017/18 Student Full-time Equivalent (FTE) Report -Final	Student Data		Annually
2018/19 Student Full-time Equivalent (FTE) Report - Fall Interim	Student Data		Annually
2018 Performance Measure Data Submission (aboriginal data)	Student Data		Annually
2018 Student Outcomes Survey Cohort Submission: Baccalaureate Graduates Survey	Student Data		Annually
Central Data Warehouse Data Submission	Student Data		Interim & Final
2017/18 Disability Program Reports: Assistance Program for Students with Permanent Disabilities (APSD) and Learning Disability Assessment Bursary (LDAB) Rounds 1 & 2	Student Finance		Annually
2017/18 Aboriginal Emergency Assistance Fund Report	Student Finance		Annually
2017/18 Student Society Emergency Aid Program Report	Student Finance		Annually
2018/19 Student Fees Submission (Tuition, Mandatory and Student Society Fees)	Student Finance		Annually
2018/19 Mandatory Fee Report: Report on New Mandatory Fees for New Services	Student Finance		Annually
2018/19 Institution Appendix: Student Aid BC Eligible Programs and Educational Costs Submission	Student Finance		Annually
Canada Revenue Agency			
2017/18 RRU Foundation Charity Returns	Financial		Annually
Stats Canada			
Annual Capital Expenditure Survey	Capital		Annually
University and College Academic Staff Survey Submission	Human Resources		Annually
Public Sector Employers' Council (PSEC)			
Compensation Base Survey	Financial		Annually
Senior Employee Compensation reporting	Financial		On-going
Board Remuneration Disclosure	Financial		Annually
Executive Compensation Disclosure	Financial		Annually
Office of the Auditor General			
External Auditor Contact Information	Financial		Annually
BC Climate Action Secretariat			
2017 Carbon Neutral Action Report	Sustainability		Annually

RECOMMENDATION

That the Finance and Audit Committee receives this report for information.

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