

*The Board of Governors acknowledges and respects the Algonquin First Nation, on whose traditional territory the Carleton University campus is located.*

**The 599<sup>th</sup> Meeting of the Board of Governors**  
**Thursday, December 1<sup>st</sup>, 2016 at 4:00 p.m.**  
**Room 2440R River Building, Carleton University**

**AGENDA**

**OPEN SESSION**

**1. CALL TO ORDER AND CHAIR'S REMARKS**

**2. DECLARATION OF CONFLICT OF INTEREST**

**3. APPROVAL OF OPEN AGENDA**

- The agenda was circulated with the meeting material.

**4. OPEN CONSENT AGENDA APPROVAL**

- Circulated with this agenda is a Consent Agenda which lists items presented to the Board for approval or for information.

**5. OPEN - ITEM(S) FOR APPROVAL**

(20 min)

**5.1 Sexual Violence Policy (S. Blanchard)**

- Materials were circulated in advance.

(2 min)

**5.2 Board Community at Large Member for Search Committee for the Vice-President (Research and International) (R.Runte)**

- Materials were circulated in advance and a verbal report will be made.

- 5.3 Approval of Building Designs (C. Carruthers):
- (5 min) 5.3.1 Schematic Design for the new School of Business Building
- Materials were circulated in advance.
- (5 min) 5.3.2 Design Concept for the Student Commons Building Addition
- Materials were circulated in advance.
- (5 min) 5.3.3 Final Design of the Carleton University Institute for Advanced Research and Innovation in Smart Environments (ARISE) Building
- Materials were circulated in advance.
- (5 min) 5.4 Approval of Funding for Design and Documentation of the new School of Business Building (B.Wener)
- Materials were circulated in advance.
- (10 min) 5.5 Approval of Consent to Act As A Governor (S. Levitt)
- Materials were circulated in advance and materials will be distribution at the meeting.
- 6. OPEN – ITEM(S) FOR DISCUSSION**
- (10 min) 6.1 Enrolment Report
- A verbal presentation will be made.
- 7. OPEN – ITEM(S) FOR INFORMATION**
- (10 min) 7.1 Report from the President (R.Runte)
- Strategic Integrated Plan Update
  - Provincial Planning Update

(10 min)

7.2 Committee Chair Updates

- a) Building Program (C. Carruthers)
- b) Community Relations & Advancement (L.A. Daly)
- c) Finance Committee (B. Wener)
- d) Governance Committee (K. Evans)

**8. OPEN - QUESTION PERIOD**

- There are no question to be addressed.

(10 min)

**9. END OF OPEN SESSION AND BRIEF NETWORKING BREAK**

- Guests and observers are asked to step out of the meeting.
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**10. APPROVAL OF CLOSED AGENDA**

- The agenda was circulated with the meeting material.

**11. CLOSED - CONSENT AGENDA APPROVAL**

- Circulated with this agenda is a Closed Consent Agenda which lists items presented to the Board for approval or for information.

**12. CLOSED – ITEM(S) FOR INFORMATION**

(30 min)

12.1 Update on Comprehensive Campaign (D. Fortin)

- Materials were circulated in advance and a verbal update will be provided.

12.2 Committee Chair Updates

- a) Audit Committee (B. Wener)
- b) Nominating Committee (C. Carruthers)
- c) Executive Committee (C. Carruthers)

12.3 Results of Board Retreat Survey

- Materials were circulated in advance.
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(15 min) **13. CLOSED - IN CAMERA SESSION**

**14. ADJOURNMENT**

# **AGENDA ITEM**

## **5.1**



**Carleton**  
**UNIVERSITY**

**Draft Sexual Violence Policy**  
**Privileged and Confidential**



**Policy Name:** Sexual Violence Policy

**Originating/Responsible Department(s):** Office of the Vice-President (Students and Enrolment) and Equity Services

**Approval Authority:** Board of Governors

**Date of Original Policy:** December X, 2016

**Last Updated:** N/A

**Mandatory Revision Date:** December X, 2019

**Contact:** X

## **1. Purpose of the Policy**

**1.1.** As a community, Carleton University supports and is committed to maintaining a positive learning, working and living environment where sexual violence will not be tolerated and is treated with the seriousness it deserves. Carleton acknowledges that individuals who are members of equity-seeking groups who experience intersecting forms of disadvantage based on the protected grounds in the Ontario Human Rights Code may be disproportionately affected by sexual violence and its consequences. The purpose of this Policy is to articulate Carleton University's commitment to a safe, supportive and healthy campus and to confirm its commitment to provide support to those members directly affected by sexual violence.

**1.2.** This Policy is also intended to:

- a) Set out the University's statement of values and commitments to address sexual violence;
- b) Provide information about supports and services available at Carleton University and in the community;
- c) Ensure follow-up once a report is made to the University;
- d) Provide information about the University's process for responding to and addressing incidents and complaints of sexual violence;
- e) Meet the University's obligations under the Ministry of Training, Colleges and Universities Act and the Occupational Health and Safety Act with respect to sexual violence, sexual harassment, and workplace sexual harassment; and,

- f) Reinforce and enhance the Carleton University Statement on Conduct and Human Rights and related policies and procedures addressing sexual violence, sexual harassment and workplace sexual harassment.

## 2. Carleton's Commitment and Values

### 2.1. Carleton is committed to:

- a) Continually fostering an environment where members of the University community can live, study and work free of sexual violence;
- b) Recognizing that anyone can be harmed by sexual violence and that it is a fundamental affront to an individual's rights, dignity and integrity;
- c) Seeking first to prevent and then to redress sexual violence, by safely intervening and speaking out when the University sees it occurring;
- d) Adopting a survivor-centered approach to providing services to those who have experienced sexual violence;
- e) Ensuring that members of the University community who experience sexual violence are supported, treated with compassion and appropriately accommodated;
- f) Addressing acts of sexual violence in the University community;
- g) Combating broader societal attitudes regarding gender, sex and sexuality that normalize sexual violence and undermine equality;
- h) Providing or making available to members of the University community education and awareness training on this Policy and on the prevention of sexual violence, with content tailored to the audience and relevant to their role and responsibility in responding to and addressing sexual violence; and,
- i) Maintaining and reporting annual statistics, without identifying information, on disclosed and reported incidents of sexual violence on campus, and in accordance with legislative requirements.

### 3. Scope of the Policy

3.1. This Policy applies to all members of the University community (as defined below), whether they are in the University's learning, living or work environment, on or off campus, or interacting through social or other electronic media. This Policy does not replace or supersede existing collective agreement provisions.

### 4. Definitions

4.1. For purposes of this policy and its interpretation, the following terms are defined:

**“Appropriate Manager/Supervisor”** means the person in a position of authority over the Respondent as identified in any applicable collective agreement.

**“Complainant”** refers to the person who is making a complaint under this Policy.

**“Consent”** means an active, direct, voluntary, unimpaired, and conscious choice and agreement to engage in sexual activity. Consent cannot be given by a person whose judgement is impaired by drugs and/or alcohol or by other forms of impairment. It is not acceptable for a person who is said to have engaged in sexual violence to use their own consumption of alcohol and/or drugs as an excuse for their mistaken belief that there was consent. For further clarity, consent:

- Can be revoked at any time during sexual activity;
- Cannot be assumed nor implied;
- Cannot be given by silence or the absence of “no”;
- Cannot be given by an individual who is impaired by alcohol and/or drugs, is unconscious or asleep;
- Cannot be obtained through coercion or threats;
- Cannot be given if the person who has engaged in sexual violence has abused a position of trust, power or authority; and,
- Might not be given properly if an individual has a condition that limits their verbal or physical means of interaction – in such instances, it is extremely important to determine how consent will be established.

**“Disclose”** means sharing information pertaining to an incident of sexual violence for the sole purpose of learning about and/or receiving support and services.

**“Rape culture”** means a culture in which dominant ideas, social practices, media images and societal institutions implicitly or explicitly condone sexual assault by normalizing or trivializing sexual violence and by blaming survivors for their own abuse.

**“Report”** means to inform about an incident of sexual violence, to learn about the University’s formal compliant procedures, and/or to file a formal complaint under this Policy.

**“Respondent”** refers to the person against whom a complaint has been filed under this Policy.

**“Sexual harassment”** means engaging in a course of vexatious comment or conduct (based on sex, sexual orientation, gender identity or gender expression) that is known or ought reasonably to be known to be unwelcome. The following is a list of examples that is not meant to be exhaustive:

- Sexual solicitation or unwanted sexual attention from a person who knows or ought reasonably to know that such attention is unwanted;
- An implied or expressed promise of reward for complying with a sexually oriented request;
- An implied or expressed threat of reprisal or actual reprisal for refusing to comply with a sexually oriented request;
- A sexual relationship that constitutes an abuse of power in a relationship of authority; or,
- A sexually oriented comment or behaviour that may reasonably be perceived to create a negative psychological and emotional environment for living, work or study.

**“Sexual violence”** means any sexual act or act targeting a person’s sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, that is committed, threatened or attempted against a person without the person’s consent. It includes sexual assault, sexual harassment, stalking, indecent exposure, voyeurism and sexual exploitation. For further clarity, sexual assault includes rape.

**“Survivor”** means a person who has experienced sexual violence.

**“University community”** means all individuals who have a relationship with or to the University (or had at the time of the incident), including but not limited to:

- Students, meaning individuals registered as students at the University, whether full-time or part-time (including special students), at the non-credit, undergraduate or graduate level;
- All employees and faculty, including all unionized and non-unionized academic and support staff as well as those whose salary is paid through sources other than the University’s operating funds, such as grants, research grants and external contracts;
- Persons with an academic appointment including but not limited to adjunct, visiting and emeritus professors, post-doctoral or clinical fellows and research trainees;
- Contractors, consultants, suppliers or other entities engaged by the University to provide services or goods when on University property or while acting in a capacity defined by their relationship to the University;

- Members of the Board of Governors, of the Senate and any of their respective committees, as well as members of any advisory committee formed to help the University achieve its goals; and,
- Employees of both unionized and non-unionized employee and student groups when on University property or while acting in a capacity defined by their relationship to the University.

**“Workplace sexual harassment”** means engaging in a course of vexatious comment or conduct against a worker in a workplace because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the worker and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

## **5. Education, Prevention and Awareness**

**5.1.** The University will build the capacity of the Carleton community to address sexual violence and play a role in ending sexual violence in our community. As such, the University and our campus partners, will:

- a) Engage in public education and prevention activities;
- b) Provide the University community with ongoing education and training about sexual violence including information on how to respond to the disclosure of sexual violence;
- c) Contribute to a campus atmosphere in which sexual violence is not tolerated while recognizing academic freedom (as outlined in the applicable collective agreement and in the Carleton University Statement of Conduct and Human Rights) for students, faculty and staff to explore controversial topics related to this issue; and,
- d) Monitor and update University policies to ensure that they remain effective and in line with other existing policies and best practices.

**5.2.** The University will establish the Sexual Violence Prevention and Education Committee (SVPEC) with representation from students, staff, faculty and senior administrators. This committee will be chaired by the Director of Equity Services and report to the President. Individuals will be invited to self-nominate/apply for the SVPEC. Equity Services and the Office of the Vice-President (Students and Enrolment) will collaborate to choose an appropriate number of members from across the university to serve on the committee. Generally speaking the purposes of the SVPEC will be to:

- a) Encourage the University community to work together to promote a safe learning, living and work environment for the members of the University community;
- b) Contribute to a campus atmosphere in which sexual violence is not tolerated;
- c) Make recommendations to the Office of the President on this Policy with regard to sexual violence prevention and awareness;
- d) Make recommendations to the Office of the President on resources required or other measures related to addressing sexual violence and support services; and,
- e) Consider and recommend proposals for new training programs brought forward by Equity Services and monitor the coordination, implementation and success of training programs related to sexual violence.

**5.3.** The Board of Governors shall receive and consider annual reports from Equity Services in respect of sexual violence, including the following:

- a) The number of times supports, services and accommodation relating to sexual violence are requested and obtained and information about the supports, services and accommodation;
- b) Initiatives and programs established to promote awareness of the supports and services available;
- c) The number of incidents and complaints of sexual violence, and information about the incidents and complaints; and
- d) The implementation and effectiveness of this Policy.

## **6. Support Services and Disclosure**

### **6.1. General provisions about reporting and disclosure**

- a) At any time, a person who has experienced sexual violence may consult with or seek advice and support from the relevant student association, union or other employee group.
- b) If an incident of sexual violence is disclosed to a member of the University community, the person to whom it is reported has a duty to refer the person to this Policy and inform the person that the Sexual Assault Support Centre within Equity Services (hereafter “Equity Services”) is the office to contact in order to get information about the availability of supports and services.

## 6.2. Support and Services

- a) Individuals who disclose that they have experienced sexual violence will be provided support services and will be treated with dignity and respect at all times by the University and its representatives. A person affected by sexual violence is **not** required to report an incident or make a complaint about sexual violence under the formal complaint process of this Policy in order to obtain support and services, or in order to receive appropriate accommodation for their needs.
- b) The supports and services available at the University to obtain information about sexual violence and/or support are as follows:

### **Support and services available from the University:**

Sexual Assault Support Centre  
613-520-5622  
[www.carleton.ca/equity](http://www.carleton.ca/equity)

Health and Counselling Services  
613-520-6674  
[www.carleton.ca/health](http://www.carleton.ca/health)

University Safety  
General inquiries: 613-520-3612  
Emergencies: 613-520-4444  
[www.carleton.ca/safety](http://www.carleton.ca/safety)

### **Support and services available from off-campus providers:**

Ottawa Police Service  
General Inquiries: 613-236-1222  
[www.ottawapolice.ca](http://www.ottawapolice.ca)

Ottawa Rape Crisis Centre  
24 hour crisis line: 613-562-2333  
General inquiries: 613-562-2334  
[www.orcc.net](http://www.orcc.net)

Sexual Assault Support Centre of Ottawa  
24 hour support line: 613-234-2266  
General Inquiries: 613-725-9259

Sexual Assault and Partner Abuse Program at the Civic Campus of the  
Ottawa Hospital  
613-798-5555 x 13770

### **6.3 Disclosure in an emergency – University Safety**

- a) In an emergency on campus (i.e., imminent threat of sexual violence and of harm to a person or sexual violence actually occurring) a report can be made in the following ways:
- Call 911
  - University Safety emergency number 613-520-4444
  - Red telephones and yellow call boxes (located in building lobbies, corridors, computer labs and parking garages) connect directly with University Safety.
  - Blue Light Assistance Phones located outside on campus grounds, in parking garages and in the tunnel system provide a direct link with University Safety.
  - Public telephones on campus – free to dial 613-520-4444 or 911
  - In person: University Safety Office – 203 Robertson Hall
- b) When a person discloses an incident of sexual violence to University Safety, University Safety must inform Equity Services for follow-up. See paragraph 6.4 of this Policy.

### **6.4 Disclosure in a non-emergency – Equity Services**

Equity Services is responsible for handling all disclosures of sexual violence involving a member of the University community in a non-emergency situation, whether the sexual violence has occurred on or off campus. An Equity Services staff member will provide information about available support and services, including information about interim measures that may be available to address the immediate needs (see examples in paragraph 6.5 (a) of this Policy). Equity Services is the point of contact for a person affected by sexual violence to request academic, employment or other accommodations.

### **6.5 Follow-up on disclosure**

- a) When a person reports sexual violence to University Safety and/or Equity Services, an Equity Services Advisor will contact the person to learn more about the circumstances, the person's needs and expectations, and the outcome sought. The Equity Services staff member will make every effort to assist the person and will discuss options to address or resolve the matter in a timely and supportive way. The appropriateness of these options will depend on the person's needs and on the circumstances. The following list

of examples (which is not exhaustive) includes:

- Providing referrals to contacts for suitable supports, services or resources available at the University and in the city, including the Sexual Assault Services Coordinator;
  - Sharing information on what the person can do or what the Equity Services Officer or other person may do to intervene in the situation;
  - Discussing the availability of interim academic or employment accommodation or other measures to stabilize a situation, to protect the person from retaliation or the threat of retaliation, to address safety or other concerns, and/or to otherwise support the person. Examples of measures for students include exam or assignment deferral, class and/or schedule changes, housing changes, and no-contact orders. Examples for employees include making changes that are not disciplinary but precautionary to avoid contact between parties or placing the Respondent on a temporary non-disciplinary leave with pay;
  - Providing information on methods available to facilitate a resolution;
  - Describing the process of filing a formal complaint under Section 9 of this Policy; and,
  - Information about any other available options to address or resolve the matter.
- b) Where appropriate the Director of Equity Services will engage the Sexual Violence Review Committee to ensure the safety, follow-up and support for those involved in a report of sexual violence.
- c) The Sexual Violence Review Committee (SVRC) is composed of:
- Vice-President Students and Enrolment or designate (Chair)
  - Director of Equity Services
  - Director of Health and Counselling Services
  - Director of University Safety
  - Director of Student Affairs (when the Complainant or Respondent is a student)
  - Director of Employee and Labour Relations (when the Complainant or Respondent is an Employee)

All members of the SVRC will receive sexual violence and procedural fairness training.

d) Equity Services must ensure that the following steps occur:

- The person who has experienced sexual violence is given information regarding internal and external personal support and advocacy services, and internal (non-criminal) and external (criminal and other legal proceedings) complaint processes;
- Appropriate academic, employment or other accommodation and interim measures are made available and implemented to stabilize the situation and/or separate the parties and to address any safety or security concerns; and,
- A threat assessment is conducted as required.

e) Equity Services and the Sexual Violence Review Committee can, on a confidential basis, consult or seek the assistance of other internal authorities (such as Health and Counselling Services, Human Resources or the Sexual Assault Services Coordinator) or resources. They can also consult or seek the assistance of external parties relevant to the particular incident, such as rape crisis centers and counselling services.

## **7. Confidentiality**

**7.1.** All reports and disclosures of sexual violence to the University will be treated in a confidential manner and in accordance with the Freedom of Information and Protection of Privacy Act (FIPPA) and with the provisions of applicable collective agreements.

**7.2.** All members of the University community who receive a report or disclosure of sexual violence or who are involved in addressing or investigating it must keep the matter confidential. This is in order to protect the rights of those involved in the allegations; to prevent an unjustified invasion of their personal privacy; to preserve the integrity of the investigation, and to safeguard individuals against unsubstantiated allegations. See paragraph 8.5 of this Policy for more details on confidentiality related to the formal complaint process.

**7.3.** The University will make every reasonable effort to maintain confidentiality when it becomes aware of an incident of sexual violence and will limit disclosure of information about individuals to those within the University who need to know for the purposes of, or those consistent with, addressing the situation, investigating or taking corrective action. Under the following circumstances, however, the University might face additional legal obligations and may not be able to guarantee complete confidentiality if:

- a) An individual is at risk of self-harm;
- b) An individual is at risk of harming others;

- c) Members of the University community or the broader community may be at risk of harm; and/or
- d) Investigation or reporting to authorities where required by law (the following list of examples is not meant to be exhaustive: an incident involving a minor, obligations related to occupational health and safety, human rights legislation and/or community safety).

**7.4.** If a person requests that the University not act on a report of sexual violence, the University must weigh that person's request against the University's legal obligation to take action and provide a learning, living and work environment that is safe and free from sexual violence for all members of the University community.

## **8. General Provisions Regarding the Formal Report and Complaint Process**

### **8.1 External reporting and recourse**

This Policy and the formal complaint process do not prevent and are not intended to discourage an individual from also reporting sexual violence to the police and pursuing a complaint of sexual violence through the criminal justice system and/or from pursuing a complaint of sexual harassment with the Ontario Human Rights Tribunal pursuant to the Ontario Human Rights Code. The policy also does not prevent a unionized employee from pursuing a grievance under their collective agreement.

### **8.2 Choice not to file a formal complaint or not to investigate**

- a) A person may choose not to file a formal complaint under Section 9 of this Policy. If a person decides not to file a formal complaint or requests that the University not investigate, the full range of supports and services outlined in this Policy remain available to that person. To the greatest extent possible, the University will respect the person's choice not to proceed with a formal complaint or request that the University not investigate.
- b) A Complainant who has filed a formal complaint may withdraw the complaint in writing at any time. However, the Sexual Violence Review Committee (SVRC) may still initiate an investigation if it has reason to believe that a member of the University community or broader community may be at risk of harm, or if the Sexual Violence Review Committee determines that the University has a legal obligation to investigate. In such cases, subject to legal requirements, the person has the right not to participate in such an investigation. The SVRC will appoint an Investigator who will investigate the matter and provide the SVRC with a written confidential report containing the facts and information gathered during the investigation. The Sexual Violence Review Committee

will consult with internal authorities on the investigation report and on the appropriate means for further addressing the matter.

### **8.3 Harassment and/or discrimination**

Complaints of harassment and/or discrimination that do not involve sexual violence will be addressed under the Carleton University Human Rights Policies and Procedures or other workplace harassment/violence prevention policies as appropriate.

### **8.4 Support person**

The Complainant or the Respondent can be accompanied by a support person of their choice at any time during the formal complaint process outlined in this Policy. The support person may provide encouragement or other emotional or moral support and may accompany the Complainant or Respondent to meetings. The support person's role is not to act or speak on behalf of the Complainant or Respondent. Representations (both oral and written) must come directly from the Complainant and Respondent. The support person must also agree in writing to maintain confidentiality in accordance with this Policy.

- a) The Complainant may wish to access the Sexual Assault Services Coordinator to assist with navigating the provisions of this Policy.
- b) Where the Respondent is a student, they may wish to contact Ombuds Services to assist with navigating the provisions of this Policy.

### **8.5 Confidentiality**

In addition to the provisions on confidentiality contained in paragraph 7 of this Policy, when a formal complaint is filed under this Policy, the following applies:

- a) Confidentiality of information disclosed at any time pursuant to this Policy is to be maintained to the extent possible, consistent with the University's need to respond appropriately to the situation and to the safety of members of the University community. This means that information about the situation may be disclosed as provided for in this Policy only to those who need to know in order to investigate and/or address the formal complaint.
- b) To ensure procedural fairness while a formal complaint process is underway, the Complainant, the Respondent and others who may have knowledge of the matter, including a support person, must maintain confidentiality in accordance with this Policy and not make public statements (for example: media, public and/or social

media statements) that may jeopardize the proper handling of the matter. The confidentiality obligations do not prevent a person from seeking counselling, treatment, support services or from speaking to friends and family. Any questions regarding confidentiality obligations under this Policy can be clarified by contacting the individual who receives the formal complaint.

- c) Information disclosed by a person during a mediation under this Policy is without prejudice to that person and cannot be used during subsequent steps in handling the matter or in the formal complaint process under this Policy. Any person conducting a mediation of a complaint cannot be called to testify in a subsequent proceeding in relation to information disclosed during mediation, unless ordered or compelled by a court, tribunal or arbitrator.
- d) Documents and information related to a formal complaint, including the written formal complaint, written responses, witness statements, investigation notes and reports, and documents related to the formal complaint and its investigation will be securely maintained by Student Affairs or Human Resources as appropriate (see section 9.1 below).

## **8.6 Timelines**

The timelines mentioned in this Policy are meant to ensure that the matters are dealt with in a timely fashion. There may be, in compelling circumstances, reasons to extend a timeline. In such cases, where the request is in good faith and the extension does not prejudice or harm those involved in the complaint, extensions may be granted. It can be difficult to determine appropriate timelines for the resolution, investigation or a final disposition with respect to a formal complaint. Therefore, where no timelines are mentioned in this Policy, the intention is always to use a reasonable time period and to act as expeditiously as possible in light of the nature and complexity of the circumstances of the complaint and in light of other circumstances that may arise during the process that are beyond a party's reasonable control.

## **8.7 Applicable collective agreements**

The formal complaint process provided in this Policy, as it affects any unionized employees shall be construed and applied consistently with any relevant collective agreement. This policy does not abrogate any collective agreement protections to employees.

## **8.8 Interim measures**

Interim measures may be implemented during the formal complaint process and pending a final decision. The Sexual Violence Review Committee can review the implementation of interim measures to ensure the measures are appropriate in the circumstances. A non-exhaustive list of examples of such interim measures is outlined in paragraph 6.5 (a) of this Policy.

## **9. Formal Complaints Process**

### **9.1. Filing and initiating a formal complaint**

- a) The Director of Student Affairs (or designate) is responsible for receiving (in writing) formal complaints of sexual violence related to students. The Director of Employee and Labour Relations (or designate) is responsible for receiving formal complaints related to all other groups. In the case where the Respondent is both a student and an employee, the complaint may be submitted to either of these two parties but will be jointly received. Only a person who reports experiencing sexual violence (the “Complainant”) can choose to file a formal complaint under this Policy.
- b) A formal complaint can be filed if the Respondent is a member of the University community and was a member of the University community at the time of the incidents alleged in the formal complaint.
- c) Jurisdictional or other legal considerations may arise (such as an active police investigation) where the formal complaint process in this Policy may be suspended.
- d) A formal complaint must set out in writing the name of the Respondent, the nature and the details of the circumstances, including detailed facts, specific dates and names of potential witnesses. The person receiving the formal complaint will acknowledge receipt, review it and if necessary, seek clarification from the Complainant on the information it contains.

### **9.2. Sexual Violence Review Committee (SVRC) Initial assessment**

- a) The complaint will be provided to the Sexual Violence Review Committee. The SVRC will assess the formal complaint and determine whether the conduct forming the basis of the complaint appears to fall within the definition of sexual violence as

set out in this Policy.

- b) If the SVRC considers that the conduct in question appears to fall within the definition of sexual violence as set out in Section 4 of this Policy, they will appoint an Investigator pursuant to paragraph 9.4(a) of this Policy and inform the Complainant and Respondent in writing.
- c) If the SVRC considers that the conduct does not fall within the definition of sexual violence as set out in this Policy, they will convey this assessment in writing to the Complainant and inform the Complainant of their right to request a review under 9.3 of this Policy, and will provide the applicable timelines and procedures for requesting this review. In these cases the SVRC may also refer the Complainant to another University policy or office as may be applicable or legally required.

### **9.3. Review of the initial assessment**

A request to review the Sexual Violence Review Committee's initial assessment of the complaint can be made only if it has determined that the complaint falls outside the definition of sexual violence as set out in this Policy. If the Complainant disagrees with the determination that the complaint is outside the definition of sexual violence as set out in this Policy, then the Complainant may ask the University Secretary to review the assessment, if the Complainant submits the request in writing within 10 business days after the date of determination. Upon review, the University Secretary's decision is final and will be communicated to the Complainant in writing.

### **9.4. Investigation**

- a) Where the complaint is within the definition of sexual violence as set out in this Policy, the Sexual Violence Review Committee will appoint an Investigator who has competence in conducting investigations related to allegations of sexual violence, to investigate the complaint.
- b) Where the Respondent is a unionized employee, the employee shall have all applicable rights to union representation during any investigatory meetings with the Employer. As per the relevant collective agreement the Director of Employee/Labour Relations will also inform the Manager/Supervisor of the Respondent of the investigation.
- c) Once an Investigator has been appointed, either the Director of Employee and Labour Relations or the Director of Student Affairs will send a written notice to

the Respondent and the Complainant informing both of the formal complaint, enclosing a copy of the complaint and informing them of the name of the Investigator. This notice will indicate that the Respondent will have an opportunity to provide the Investigator with a written response to the complaint. Both the Complainant and the Respondent will be provided with a copy of the formal complaint process under this Policy.

- d) The investigation will be done in a timely fashion. The Investigator will ask the Respondent to respond in writing to the formal complaint. If the Respondent does not provide a written response within the time requested, the investigation will proceed in the absence of a response.
- e) The Investigator will then send the Respondent's response to the Complainant, who can submit a written reply within the time requested by the Investigator. If no written reply is provided within the time requested, the Investigator will proceed in the absence of such reply. The Respondent will receive a copy of the reply, if any.
- f) The Investigator will examine all of the information submitted by the parties as well as any other information gathered during the investigation and conduct all interviews in a fair, impartial and professional manner. The Investigator will remind the individuals of the requirement to protect and keep confidential the personal information of the persons involved in the investigation.
- g) The Investigator will keep the Sexual Violence Review Committee informed on the status of the investigation at regular intervals or at the request of the Review Committee. The officers charged with receiving the complaint will keep the Complainant and the Respondent informed on the status of the complaint and of the investigation.

### **9.5. Investigation report**

Upon completion of the investigation, the Investigator will send a written confidential report containing the facts and information gathered during the investigation to the Sexual Violence Review Committee. The investigation report will be provided to the Complainant and to the Respondent with a reminder of the need to protect and keep confidential the personal information of those involved in the investigation and to avoid acts of reprisal. The university considers reprisal at any stage to be a serious offence. A breach of confidentiality by any person with respect to a complaint may also constitute reprisal.

## **9.6. Review of report and committee meeting**

- a) After the report and replies are provided to the Sexual Violence Review Committee (SVRC), the Chair will convene meeting(s) and send a written notice of the meeting(s) to the Complainant and the Respondent. The notice will indicate the time, place and purpose of the meeting(s) as well as include a statement that if the Complainant or the Respondent does not attend or participate, the SVRC may proceed in their absence.
- b) The Sexual Violence Review Committee meeting(s) will be conducted in person and in camera. However, the support person(s) referred to in paragraph 8.4 of this Policy can attend as an observer(s) only and may not speak on behalf of or represent the Complainant or the Respondent.
- c) The Complainant and the Respondent will be afforded the opportunity to make written and oral representations to the SVRC, including representations on the investigation report and on any potential consequences or measures. The Complainant and the Respondent are expected to speak for themselves. Members of the SVRC may ask questions of the Complainant and the Respondent and may invite witnesses as they deem necessary.
- d) The Review Committee will ensure that the Complainant and the Respondent are given an opportunity to know and respond to information that it intends to rely upon in making the decisions and recommendations.

## **9.7. Decision of the Sexual Violence Review Committee (SVRC)**

- a) Upon reviewing and considering the final investigation report and any representations made by the Complainant and the Respondent or other person at its meeting with them, the Sexual Violence Review Committee will:
  - Decide whether the investigation was fair and conducted properly;
  - Decide whether the complaint is founded and the role of the Respondent;
  - Recommend consequences or measures it considers appropriate to remedy or mitigate any academic or employment harm or disadvantage arising from the complaint, to prevent its reoccurrence and to ensure the safety of all individuals.
- b) The decisions of the Sexual Violence Review Committee and the reasons in support of it must be in writing and be delivered to the Complainant and

Respondent. The Freedom of Information and Protection of Privacy Act (FIPPA), prohibits the disclosure of the details of any disciplinary actions or consequences taken against the Respondent. The Complainant has a right to know the outcome of the investigation but not the details of the discipline unless sharing that information is permitted by FIPPA for health and safety reasons. In the case of a unionized employee, the decision of the SVRC will also be communicated to the appropriate Manager/Supervisor who will make a recommendation on any consequences, measures, and/or disciplinary action to the appropriate Vice-President. If the Committee decides that the complaint is founded and the Respondent involved was a unionized employee, the SVRC will also provide the appropriate Manager/Supervisor with a copy of the investigation report.

- c) Consequences or measures in response to sexual violence will depend on the circumstances, on the severity of the conduct, on any mitigating factors and on applicable collective agreements or other University policies. If a complaint of sexual violence is substantiated, consideration will be given to preventing its reoccurrence in the future, to correcting the negative impact of the incident on the Complainant and to ensuring or enhancing the safety of all individuals. The following list provides examples of consequences and measures and is not meant to be exhaustive nor necessarily represent a progression of consequences or measures:
- A letter of apology;
  - Attendance at educational sessions on the impact of sexual violence;
  - Attendance at coaching sessions to improve communication or conflict resolution skills;
  - Restricted or prohibited access to the University campus and/or services;
  - For employees discipline up to and including termination;
  - For students discipline up to and including suspension or ban from the University, and
  - In circumstances where the Respondent is a unionized employee, the appropriate Manager/Supervisor under the applicable collective agreement will decide on consequences or measures and on the imposition of any disciplinary measures. Disciplinary processes and measures shall be in accordance with the collective agreement applicable to the Respondent employee.

## 10. Appeal Process

### 10.1 Appeal

An appeal is not an opportunity for the Complainant or the Respondent to repeat the information provided to the Sexual Violence Review Committee. The right to an appeal is not automatic and an appeal will only be considered if it meets the following requirements:

- a) The appeal is of a final decision of the Sexual Violence Review Committee;
- b) The appeal is submitted by either the Complainant or the Respondent;
- c) The appeal must be made within 10 business days after the date of the final decision that is the subject of the appeal;
- d) The appeal includes the reasons for the appeal, the reasons why the appeal should be granted, the arguments in support of the appeal and the outcome sought;
- e) The appeal must demonstrate that:
  - There has been a fundamental procedural error in the making of the final decision and that such error has caused or will cause actual prejudice to the person seeking the appeal, or
  - There are new facts relevant to the final decision that were not available and could not have been provided to the Sexual Violence Review Committee.

The following is a non-exhaustive list of some examples of situations where an appeal would not meet the requirements of this paragraph:

- The appeal asks for review of a consequence or measure that has not yet been finally decided or approved;
- The appeal repeats arguments made at the meeting of the review committee or in written submissions and does not provide any new information relevant to the final decision;
- The appeal is based only on a disagreement with a finding of fact, including findings made about the credibility of witnesses;
- The appeal raises new arguments that were not made, but could have been made at the Sexual Violence Review Committee meeting

- or in written submissions or to the appropriate Manager/Supervisor or University governing body, and
- The appeal amounts to a mere speculation or a bald statement of a procedural error causing prejudice and does not provide detailed and convincing information to establish the error and to establish a link between the error and actual prejudice or a reasonable expectation of prejudice to the person seeking the appeal.

## **10.2**

The appeal must be made to the University Secretary. Following receipt of the appeal, the University Secretary will convene the Appeal Board. The Appeal Board consists of the Vice-President Finance and Administration, the Associate Vice President of Human Resources and the Provost and Vice President Academic or their delegates. The Appeal Board will be chaired by a person external to the University Community who has the appropriate legal training. All members of the Appeal Board will receive sexual violence and procedural fairness training.

## **10.3**

The appeal process is conducted in writing. The Complainant or Respondent, as the case may be, does not need to respond to the appeal unless the Appeal Board sends a letter requesting them to do so.

## **10.4**

The Appeal Board reviews the appeal, determines whether the appeal meets the requirements of paragraph 10.1 of this Policy. Following review of the written submissions, the Appeal Board may in its sole discretion convene a hearing to determine the matter. All decisions of the Appeal Board are final.

# **11. Review of Policy**

## **11.1 Review**

- a) Equity Services is responsible for the review and implementation of this Policy. This Policy will be reviewed every three years.
- b) Revisions to the Policy will be sent for comment to the student associations, unions and employee groups, to the committee on the prevention of sexual violence referred to in Section 8 of this Policy and any other stakeholder, as determined by Equity Services, to ensure the provision and consideration of input from a diverse selection of students, faculty and employees who are reflective of the university community.

## **11.2 Amendments**

- a) Amendments made to this Policy require the approval of the Board of Governors.
- b) Updates to the following information contained in this Policy do not require additional approval.
  - The supports and services referred to paragraph 6.2 of this Policy;
  - The identity of officials, offices, and departments at the University that provide information about supports, services and accommodation or that receive reports or formal complaints.
- c) A copy of this Policy as approved and amended is posted on the University's website.

## **12 Related Policies and Procedures**

### **12.1 Related policies include:**

- a) Carleton Human Rights Policies and Procedures
- b) Carleton Student Rights and Responsibilities Policy
- c) Workplace Harassment Prevention Policy
- d) Carleton Workplace Violence Prevention Policy
- e) Residence Contract

## Community Update: Sexual Violence Policy

### In Response to Sexual Violence Policy Feedback, Carleton Makes Changes to the Sexual Violence Policy Draft and Commits to an Additional Resource for Survivors

#### **Message from the Vice-President (Students and Enrolment)**

The Government of Ontario mandated Ontario universities to create a stand-alone sexual violence policy, to be finalized and approved by university boards on or before January 1, 2017.

Following initial discussions and consultations, the Office of the Vice-President (Students and Enrolment) was tasked with the creation of Carleton's Sexual Violence Policy. An important document in the campaign against sexual violence, it is vital that Carleton's process be transparent, inclusive and reflective of its community. To accomplish this, members of Equity Services, Human Resources and my team conducted and took part in over 30 meetings, consultations and focus groups with Carleton student and union groups. A sexual violence policy website featuring an anonymous comment form was also created for those who preferred a confidential method to providing feedback and comments.

These broad consultations, and the feedback received, have allowed for a better understanding of the issues prioritized by Carleton stakeholders in the creation of a sexual violence policy.

A draft of the Sexual Violence Policy was shared with the Carleton community on October 6, 2016, to solicit Policy-specific feedback and comments. Submissions were received from over 140 individuals and from multiple groups, including: an "Open Letter" from the Carleton community; informal groups of faculty and/or staff; CUPE 2424; CUASA; and the GSA. All submissions were reviewed and considered. We are extremely pleased and proud with the involvement of the Carleton community in drafting such an important document.

Feedback and comments are addressed in this response document.

Many changes were made to the Policy as a result of the thoughtful and robust suggestions received during the consultations and in response to the draft. The result is a stronger policy that is now even more reflective of Carleton's community and our shared values. The following highlights some of the changes made:

1. Modified the definition of "University Community" to eliminate the possibility that Respondents could suspend the complaint process by ending their relationship with the University.
2. Reworded the policy to ensure a survivor-centric approach to support services, by making it clear that Equity Services/Sexual Assault Support Services continues their traditional role of supporting and advising survivors of sexual violence.
3. Removed the clause that enabled the President to make exceptions.
4. Defined what is meant by "public statements", clarifying that those who have experienced sexual violence can still seek counselling and other support services, and speak to their friends and family.
5. Added language to address concerns about academic freedom by further outlining protections for faculty who teach sexually explicit material.

Though the Sexual Violence Policy is an important step in the right direction, and will be an important tool in combatting sexual violence in the community, many stakeholders agree that resources are also important to Carleton's response to sexual violence. We will examine the need for increased training, education and resources in the implementation phase of the Policy, starting in January 2017. However, to assist students currently going through sexual violence trauma, we have added, as of November 2016, a counsellor with experience in trauma and sexual violence counselling to the Health and Counselling Services team.

The Sexual Violence Policy will now, inclusive of the changes above, be presented to our Board of Governors for approval, in keeping with the Government of Ontario's mandated timeline.

As we move towards implementing the Policy, I would like to thank the entire Carleton community for its participation. Your contribution and help have been critical in ensuring a policy representative of our diverse campus and in providing a safe, healthy and respectful environment for all.

Sincerely,

Suzanne Blanchard, Vice-President (Students and Enrolment)

**Highlights:**

- Over 30 meetings, consultations and focus groups with Carleton student and union groups.
- Over 140 individual comments were submitted and reviewed.
- Many group submissions were also reviewed, including: an "Open Letter" from the Carleton community; informal groups of faculty and/or staff; CUPE 2424; CUASA; and the GSA.
- Following the call-for-feedback, the draft Policy was reviewed and modified to adopt recommendations from the Carleton community.
- The need for increased training, education and resources will be examined as of January 2017.
- The University is committed to offering students the resources they need and has added a counsellor with experience in trauma and sexual violence counselling to the Health and Counselling Services team.

# Sexual Violence Policy Feedback Summary

## Confidentiality

- 1. Amend the policy to allow the Sexual Violence Review Committee to inform the Complainant of the disciplinary action ordered.**

While the University is committed to providing as much information as possible, we are bound by the *Ontario Freedom of Information and Privacy Act* (FIPPA) and there is a limit to what can be disclosed in general and to the Complainant. Section 9.7 has been reworded to clarify this obligation. The Section now reads:

“The decisions of the Sexual Violence Review Committee and the reasons in support of it must be in writing and be delivered to the Complainant and to the Respondent. The Freedom of Information and Protection of Privacy Act (FIPPA), prohibits the disclosure of the details of any disciplinary actions or consequences taken against the Respondent. The Complainant has a right to know the outcome of the investigation but not the details of the discipline unless sharing that information is permitted by FIPPA for health and safety reasons.”

## Definitions

- 1. Expand the definition of “Community” to address the possibility that respondents might suspend the complaint process by ending their relationship with the university.**

The definition of “University Community” has been edited to address this and now reads:

“**University community**” means all individuals who have a relationship with or to the University (or had at the time of the incident), including but not limited to:

- Students, meaning individuals registered as students at the University, whether full-time or part-time (including special students), at the, non-credit, undergraduate or graduate level;
- All employees and faculty, including all unionized and non-unionized academic and support staff as well as those whose salary is paid through sources other than the University’s operating funds, such as grants, research grants and external contracts;
- Persons with an academic appointment including but not limited to adjunct, visiting and emeritus professors, post-doctoral or clinical fellows and research trainees;
- Contractors, consultants, suppliers or other entities engaged by the University to provide services or goods when on University property or while acting in a capacity defined by their relationship to the University;
- Members of the Board of Governors, of the Senate and any of their respective committees, as well as members of any advisory committee formed to help the University achieve its goals; and,
- Employees of both unionized and non-unionized employee and student groups when on University property or while acting in a capacity defined by their relationship to the University.

## **2. Increase use of the term Rape Culture in the document.**

There were more comments related to the term Rape Culture than any other issue and people feel very strongly about this term. Some feel it is essential to use this term in order to continue the work of combatting sexual violence. Some feel the term is incorrect, inappropriate and should not be in the policy. Still others agree with the definition but not the label of Rape Culture.

The policy has many objectives but one of the things it allows for is the articulation of our shared values in regard to combatting sexual violence. In section 2 of the policy there are a series of values that have received broad consensus including:

- Continually fostering an environment where members of the University community can live, study and work free of sexual violence;
- Recognizing that anyone can be harmed by sexual violence and that it is a fundamental affront to an individual's rights, dignity and integrity;
- Ensuring that members of the University community who experience sexual violence are supported, treated with compassion and appropriately accommodated;
- Combating broader societal attitudes regarding gender, sex and sexuality that normalize sexual violence and undermine equality.

Statements like these form a basis from which education, awareness and prevention activities will be developed as part of the larger implementation strategy. Given the polarizing nature of the term Rape Culture, and taking into consideration the feedback received, it appears in the definitions section but not within the body of the document.

## **3. Remove the term Rape Culture from the document.**

See above.

## **4. Use "Intersectionality" more in the policy.**

The various intersecting forms of disadvantage have been acknowledged in Section 1.1. Addressing the issue of intersectionality is most appropriately done through the education, training and awareness activities that will flow from this policy.

## **5. Use the term "Consent Culture" in the policy.**

Consent is defined in 4.1. to mean "an active, direct, voluntary, unimpaired and conscious choice and agreement to engage in sexual activity. [...]" The definition in the policy is clear that active consent is required to engage in sexual activity.

Including the concept of "consent culture" in education and training programs can be considered by Equity Services and the members of the Sexual Violence Prevention and Education Committee (SVPEC).

## **6. The definition of sexual violence is too broad and lacks clarity.**

The definition of Sexual Violence is the statutory definition. The university is required to comply with the statute.

**7. Add Faith, Criminal background and Citizenship/Immigration status to the definition of intersectionality.**

Section 1.1 has been edited to refer to the protected grounds identified by the Ontario Human Rights Code. It now reads:

“As a community, Carleton University supports and is committed to maintaining a positive learning, working and living environment where sexual violence will not be tolerated and is treated with the seriousness it deserves. Carleton acknowledges that individuals who are members of equity-seeking groups who experience intersecting forms of disadvantage based on the protected grounds in the Ontario Human Rights Code may be disproportionately affected by sexual violence and its consequences. The purpose of this Policy is to articulate Carleton University’s commitment to a safe, supportive and healthy campus and to confirm its commitment to provide support to those members directly affected by sexual violence.”

The protected grounds under the Ontario Human Rights Code are:

- Age
- Ancestry, colour, race
- Citizenship
- Ethnic origin
- Place of origin
- Creed
- Disability
- Family status
- Marital status (including single status)
- Gender identity, gender expression
- Receipt of public assistance
- Record of offences
- Sex (including pregnancy and breastfeeding)
- Sexual orientation.

**8. “Survivor Centric” should be defined and embodied throughout the document.**

The document is survivor centric in outlining the supports that are provided to survivors.

Sections 6.5 a) through d) have been reworded to remove the Sexual Violence Review Committee (SVRC) from the support phase of the process except for circumstances where the Director of Equity Services deems their involvement would be beneficial.

These sections now read:

**6.5 Follow-up on disclosure**

- a) When a person reports sexual violence to University Safety and/or Equity Services, an Equity Services Advisor will contact the person to learn more about the circumstances, the person’s

needs and expectations, and the outcome sought. The Equity Services staff member will make every effort to assist the person and will discuss options to address or resolve the matter in a timely and supportive way. The appropriateness of these options will depend on the person's needs and on the circumstances. The following list of examples (which is not exhaustive) includes:

- Providing referrals to contacts for suitable supports, services or resources available at the University and in the city, including the Sexual Assault Services Coordinator;
- Sharing information on what the person can do or what the Equity Services Officer or other person may do to intervene in the situation;
- Discussing the availability of interim academic or employment accommodation or other measures to stabilize a situation, to protect the person from retaliation or the threat of retaliation, to address safety or other concerns, and/or to otherwise support the person. Examples of measures for students include exam or assignment deferral, class and/or schedule changes, housing changes, and no-contact orders. Examples for employees include making changes that are not disciplinary but precautionary to avoid contact between parties or placing the Respondent on a temporary non-disciplinary leave with pay;
- Providing information on methods available to facilitate a resolution;
- Describing the process of filing a formal complaint under Section 9 of this Policy; and,
- Information about any other available options to address or resolve the matter.

b) Where appropriate the Director of Equity Services will engage the Sexual Violence Review Committee to ensure the safety, follow-up and support for those involved in a report of sexual violence.

c) The Sexual Violence Review Committee (SVRC) is composed of:

- Vice-President Students and Enrolment or designate (Chair)
- Director of Equity Services
- Director of Health and Counselling Services
- Director of University Safety
- Director of Student Affairs (when the Complainant or Respondent is a student)
- Director of Employee and Labour Relations (when the Complainant or Respondent is an Employee)

All members of the SVRC will receive sexual violence and procedural fairness training.

d) Equity Services must ensure that the following steps occur:

- The person who has experienced sexual violence is given information regarding internal and external personal support and advocacy services, and internal (non-criminal) and external (criminal and other legal proceedings) complaint processes;

- Appropriate academic, employment or other accommodation and interim measures are made available and implemented to stabilize the situation and/or separate the parties and to address any safety or security concerns; and,
- A threat assessment is conducted as required.

**9. Because the definition of consent states that consent can be “withdrawn at any time” it implies that it can be withdrawn after the incident.**

Withdrawing consent after the incident is not condoned or encouraged by the definition. Consent can be withdrawn at any time during sexual activity. After the withdrawal of consent, the activity should immediately cease.

## Exceptions

**1. Remove the clause that enables the President to create exceptions to the policy.**

This clause has been removed.

## Policy Review & Reporting

**1. Policy should be reviewed every year.**

It is important to see the policy in action for a significant period before it is reviewed. The policy will be reviewed on the 3 year timeline required by the Ontario government. This said, there is no provision that prevents the University from reviewing the policy sooner if it is determined that there are clauses that need to be amended. All feedback sent to [svpolicy@carleton.ca](mailto:svpolicy@carleton.ca) will be valued and considered as they are shared.

**2. Who will review the policy?**

The policy will be reviewed by Equity Services and the Office of the Vice-President (Students and Enrolment). Students, Staff and Faculty will have the opportunity to contribute feedback during the review. Ultimately, the Board of Governors (as required by statute) is responsible for its review, amendments and approval.

**3. Annual reports from Equity should be reviewed by the Sexual Violence Prevention and Education Committee (SVPEC).**

As per 5.3 b) the SVPEC will be contributing data to these reports. As required by statute, annual reports will be provided to the Board of Governors.

**4. The Investigators report should be returned directly to the Sexual Violence Review Committee.**

Sections 9.5 and 9.6 have been re-worded to reflect this change

## Procedural

- 1. It should be clearly defined that the Complainant and Respondent don't have to be in same hearing together.**

In most circumstances, the Complainant and the Respondent will attend separate meetings with the Sexual Violence Review Committee. That said, in some cases procedural fairness may require that the Complainant and Respondent attend the same meeting. These decisions will be made contextually with an understanding of the required legal obligations. If attending the same meeting is required by law, other protections can be put in place such as both the Complainant and the Respondent being able to access support persons and/or legal counsel to assist them.

- 2. Survivors should have an advocate (who can speak alongside them) to support them through any reporting and accommodations-seeking processes.**

Section 8.4 outlines the provisions of the support person. Complainants and Respondents may access a support person of their choosing. Specifically the policy suggests that the Complainant may wish to seek the support of the Sexual Assault Services Coordinator and the Respondent may wish to seek the support of Ombuds Services. Both these areas are able to provide support and assistance.

- 3. Reports to Campus Safety should be kept confidential and not released to Equity Services if the survivor does not wish to.**

The University has a responsibility to keep the University Community safe and sharing reports of sexual violence between University Safety and Equity Services may be legally necessary.

- 4. Complainants and Respondents should be given a choice of investigators. Short list from which they would choose. At the very least they should be able to choose the gender of the investigator.**

An investigator will be identified by the Sexual Violence Review Committee (with guidance from General Counsel). The individual will have appropriate training in investigating incidents of sexual violence and will have expertise in both procedural fairness and Canadian case law.

- 5. The University Secretary should not decide whether the complaint is indeed Sexual Violence.**

As stated in 9.2 a) the Sexual Violence Review Committee determines whether the complaint meets the definition as per the policy. It is only in cases where the Committee decides that the complaint does not meet the definition and refers the complaint to another policy or process that the Complainant may ask the University Secretary to review the decision.

- 6. There should be no timelines in the process.**

Process timelines are set to ensure that all steps in the process are completed in a timely fashion. Allowances have been made to accommodate for the schedules of outside actors (such as the investigator) and for convening meetings with internal parties such as the Complainant, Respondent and members of the Sexual Violence Review Committee.

All members engaged with the process will treat it with the utmost respect and ensure that steps are completed as quickly and thoroughly as possible.

**7. Complaints and submissions should not have to be in writing. Complainants and respondents should be able to reply in a way that best suits them.**

Providing a written record of the complaint is essential for clarity of intent at each step of the process and is a procedural fairness requirement. In addition to these statements, Complainants and Respondents will also have the opportunity to present orally and in writing to the Investigator and the Sexual Violence Review Committee.

**8. In the case where the parties involved are University employees, the Manager/Supervisor should not receive the investigation report and decision of the Sexual Violence Review Committee.**

According to the Collective Agreements the Manager/Supervisor is the one who imposes discipline on an employee and must receive these reports for that purpose. The people receiving the report will normally be Directors of departments or Deans and they are bound by strict confidentiality and privacy rules.

**9. The right to Union representation should be added to 8.4.**

This is articulated in 9.4 b) and the University will comply with all obligations in the collective agreement.

**10. Complainants should have blanket immunity from prosecution under other university policies.**

When a complainant discloses an incident of sexual violence, there may be factors (such as underage drinking or drug use) that would normally lead to prosecution under other policies.

The Sexual Violence Policy's mandate is to focus on sexual violence and the complaint at hand, independently of other policies. This said, as the breadth or severity of all possible violations cannot be predicted, the concept of "blanket immunity" was not included into this policy.

**11. The relevant union should receive the report of the SVRC at the same time as the Manager/Supervisor**

The individual member will be responsible for forwarding the report to the union if they wish.

## Public Statements

**1. Please clarify what is meant by "public statements".**

Section 8.5 b) has been reworded to clarify what is meant by public statements. It now reads as follows:

"To ensure procedural fairness while a formal complaint process is underway, the Complainant, the Respondent and others who may have knowledge of the matter, including a support person, must maintain confidentiality in accordance with this Policy and not make public statements (for example: media, public and/or social media statements) that may jeopardize the proper handling of the matter. The confidentiality obligations do not prevent a person from seeking counselling, treatment, support services or from speaking to friends and family. Any questions regarding confidentiality obligations under this Policy can be clarified by contacting the individual who receives the formal complaint."

**2. Remove the prohibition on Complainants' making public statements before, during and after the complaints process.**

See above. Procedural fairness requires that both Complainant and Respondent refrain from making public statements as they can impact the process.

**3. Neither complainants nor respondents should be banned from public statements rather they should just withhold names of those involved.**

Simply not using people's names in the public statements is not sufficient in that others who are familiar with the parties will be able to deduce the parties referred to in the statements.

## Resources

**1. Commit to expanding the services that will be provided to survivors of sexual violence.**

Carleton will examine the need for increased training, education and resources in the implementation phase of the Policy, starting in January 2017. However, to assist students currently going through sexual violence trauma, Carleton has added, as of November 2016, a counsellor with experience in trauma and sexual violence counselling to the Health and Counselling Services team.

**2. Addition of the CUSA Service Centres as resources.**

There are several informal and peer resources that are not included in the document. Some of these include:

- CUSA Service Centres
- Various peer support and mentorship networks on campus
- Residence fellows and residence managers

Although students may seek help through these channels the areas listed have been restricted to those that have official responsibility and ongoing training to support those who are disclosing an incident of sexual violence.

**3. List of off campus resources should include EFAP.**

EFAP is one of many resources that Equity Services and Health and Counselling Services would refer to in counselling employees who have experienced sexual violence.

## Scope

**1. Clarify the scope of policy. Does it apply to behavior off campus when not engaged in university activities?**

The policy applies both on and off campus and also applies when the complainant and the respondent are not engaged in university activities.

**2. There should be language in the policy that protects academic freedom. What about teachers who teach porn or other sexually explicit material?**

Section 5.1 c) has been re-worded to address this. This item now reads:

“Contribute to a campus atmosphere in which sexual violence is not tolerated while recognizing academic freedom (as outlined in the Collective Agreement and in the Carleton University Statement of Conduct and Human Rights) for students, faculty and staff to explore controversial topics related to this issue”

## Sexual Violence Review Committee and the Appeal Board

### **1. Appeal Board should have external representatives or representatives from across the university.**

Section 10.2 has been edited to add that the Appeal Board will be chaired by an individual external to the University with appropriate legal training. It now reads:

“The appeal must be made to the University Secretary. Following receipt of the appeal, the University Secretary will convene the Appeal Board. The Appeal Board consists of the Vice-President Finance and Administration, the Associate Vice President of Human Resources and the Provost and Vice President Academic or their delegates. The Appeal Board will be chaired by a person external to the University Community who has the appropriate legal training. All members of the Appeal Board will receive sexual violence and procedural fairness training.”

### **2. Sexual Violence Review Committee is too small – should include faculty, staff and students.**

The Sexual Violence Review Committee has five members (in cases where either the Complainant or Respondent is both a student and employee the committee will be 6). This size is to help maintain confidentiality in review process.

The members of this committee are people who are already regularly involved in complaints of sexual violence and student and/or employee misconduct.

As outlined in the policy, members will receive training on sexual violence and procedural fairness. Having consistent membership on the committee supports consistent decision making and ensures that all members of the committee are appropriately trained.

Administrators, in their roles as officers of the university adjudicate and enforce many other policies (e.g. the Student Rights and Responsibilities Policy, the Alcohol Policy, the Campus Ban Policy) related to conduct on the campus. These officers of the university regularly carry out these duties as part of their jobs without the involvement of outside actors.

### **3. Sexual Violence Review Committee is too large.**

See above.

### **4. Sexual Violence Review Committee should be made up of third party experts with no ties to the University.**

See above.

**5. Members of the Sexual Violence Review Committee should have appropriate Sexual Violence Training.**

Members of the Sexual Violence Review Committee will be given appropriate training in both sexual violence and in procedural fairness.

**6. Will Complainants have the right to ask that some members of the SVRC be excused because they don't feel comfortable with them? Alternately could a Complainant choose to present to only one member of the SVRC?**

In the interest of procedural fairness all members of the Sexual Violence Review Committee must hear from the Complainant and be able to ask clarifying questions. If only one member were to hear the complaint and then report back, the report would be an interpretation of what was heard.

## Training and Education

**1. Provide more details on the prevention and education activities.**

The Sexual Violence Prevention and Education Committee will consult with Equity services and determine the scale and scope of prevention and education activities. Members of the community are welcome to provide recommendations by sharing them with [svpolicy@carleton.ca](mailto:svpolicy@carleton.ca).

**2. Education and training should be mandatory meaningful and ongoing.**

The Sexual Violence Prevention and Education Committee (SVPEC) will be struck to ensure that there will be a group engaged in ongoing discussions about prevention and education.

**3. Who will be on the Sexual Violence Prevention and Education Committee?**

Section 5.2 has been re-worded to clarify this further. It now reads:

“The University will establish the Sexual Violence Prevention and Education Committee (SVPEC) with representation from students, staff, faculty and senior administrators. This committee will be chaired by the Director of Equity Services and report to the President. Individuals will be invited to self-nominate/apply for the Committee. Equity Services and the Office of the Vice-President (Students and Enrolment) will collaborate to choose an appropriate number of members from across the university to serve on the committee. Generally speaking the purposes of this committee will be to:”

**From:** Justin Bergamini <[vpoperations@casg.ca](mailto:vpoperations@casg.ca)>  
**Date:** November 16, 2016 at 6:39:13 PM EST  
**To:** Jen Sugar <[JenSugar@cunet.carleton.ca](mailto:JenSugar@cunet.carleton.ca)>  
**Subject: Re: Sexual Violence Feedback Response**

Hello Jen,

I'd like to thank you on behalf of the entire CASG executive for all of the tireless work you have done on the new sexual violence policy.

I am certain that Carleton will be a safer place as a result.

I would also like to commend you and the entire Carleton administration for the robust consultations that you engaged in.

I look forward to continuing our work together in the future.

All the best,

Justin Bergamini  
Vice President Operations  
Carleton Academic Student Government  
T: 613.520.2600 x. 1648 C: 613.252.7451  
E: [vpoperations@casg.ca](mailto:vpoperations@casg.ca)



Tory Building 14  
Carleton University  
1125 Colonel By Dr.  
Ottawa, ON, K1S 5B6

**From:** Caitlin Salvino [<mailto:salvino.caitlin@gmail.com>]  
**Sent:** Friday, November 18, 2016 9:41 AM  
**To:** Jen Sugar <[JenSugar@Cunet.Carleton.Ca](mailto:JenSugar@Cunet.Carleton.Ca)>  
**Subject:** Re: Sexual Violence Feedback Response

Hello Jen,

Thank you for your kind words, we are excited to see all of the changes in response to the feedback. Thank you and your office for meaningfully incorporating our feedback to ensure that Carleton has a comprehensive and survivor-centric sexual violence policy. I look forward to seeing the final draft in December.

Best,

Caitlin

On 17 November 2016 at 16:29, Jen Sugar <[JenSugar@cunet.carleton.ca](mailto:JenSugar@cunet.carleton.ca)> wrote:

Hi Caitlin

Thanks for your message. The next step with the policy is that it will go to the Board on Dec 1 and it won't be released until then.

There are no surprises though. The October draft plus the changes you have (along with some minor wording tweaks) is what you will see when the policy is released.

On another note I just want to say how much I appreciated the submission that the three of you authored. It was robust and thoughtful and very well presented – truly great work.

Jen

**Jen Sugar MA**

Director, Student Affairs

430 Tory Building

Carleton University

[\(613\) 520-2600 ext 6664](tel:(613)520-2600)



**From:** Caitlin Salvino [mailto:[salvino.caitlin@gmail.com](mailto:salvino.caitlin@gmail.com)]

**Sent:** Wednesday, November 16, 2016 9:13 AM

**To:** Caitlin Salvino <[CaitlinSalvino@cmail.carleton.ca](mailto:CaitlinSalvino@cmail.carleton.ca)>; Jen Sugar <[JenSugar@Cunet.Carleton.Ca](mailto:JenSugar@Cunet.Carleton.Ca)>; Jodi Miles <[JodiMiles3@cmail.carleton.ca](mailto:JodiMiles3@cmail.carleton.ca)>; Sally Johnson <[SallyJohnson@cmail.carleton.ca](mailto:SallyJohnson@cmail.carleton.ca)>

**Subject:** Re: Sexual Violence Feedback Response

Hello Jen,

Thank you for taking the time to contact us and provide us with a response to our feedback. Would it be possible for us to receive a confidential draft of the new policy before it is presented to the Board of Governors?

Thank you,

Caitlin



510A Unicentre  
1125 Colonel By Dr  
Ottawa ON K1S 5B6

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Tel: 613.520.2424  
Fax: 613.520.4378  
Email: cupe2424@carleton.ca

November 21, 2016

Jen Sugar  
Director, Student Affairs  
430 Tory Building  
1125 Colonel By Drive  
Ottawa ON K1S 5B6

**RE: Draft Sexual Violence Policy – Carleton University - Response**

Dear Jen:

Thank you for your response to the submission made by various campus unions and organizations. We are pleased about some of the changes made to the draft based on these submissions, especially the increased information about the university's commitment to related financial resources. We do still have some concerns. The most important of these that we would like addressed follows.

As noted in my letter of October 28 to Suzanne Blanchard:

*Sexual harassment is defined in our collective agreement (Article 47.02) and outlines specifically the filing of grievances related to sexual harassment. In addition, the university has policies on workplace harassment and workplace violence which are the response to the amendments to the Occupational Health and Safety Act (Bill 168, Occupational Health and Safety Amendment Act (Violence and Harassment in the Workplace) 2009). As such, we are unclear about the intersection between these policies and the Sexual Violence Policy (SVP).*

*One of our major concerns with the SVP is the reporting structure. This policy falls under the Board of Governors. However, for workers, occupational health and safety generally falls under the Joint Health and Safety Committee. It would appear that the SVP is meant to cover everyone in the Carleton community, including employees. Indeed, 1.2 d) identifies the goal "to...meet the University's obligations under the...Occupational Health and Safety Act with respect to sexual violence, sexual harassment, and workplace sexual harassment". We will be seeking further clarification on this issue.*

(CUPE2424-2016-10-28)

None of this has been addressed.

*The definition of “University Community” includes (last bullet) “Employees of... Unionized....employee groups when on University property or while acting in a capacity defined by their relationship to the University”. However, in the reading of the policy, the actual process would appear only to pertain to Respondents. In this instance, does it mean that a Complainant who is an employee of 2424, and whose workplace is the Carleton University campus, does not have the same protection against sexual violence and harassment as those who have a more direct relationship with Carleton?* (CUPE2424-2016-10-28)

Does your failure to respond signify that employees of campus unions, can expect no protection or services from Carleton University if they are a victim of sexual violence on this campus? As an employer, CUPE 2424 has a duty to provide a safe workplace for our employees, both by statute and by their own collective agreement with Unifor; however, if an employee experiences sexual violence by a Carleton student, staff, or faculty member on this campus, it is our reading of this policy that they would be unable to use any aspect of this policy, including reporting it to university safety and/or Equity Services. Is this the intent of the university?

*The list of off-campus resources noted in 6.2 (b) should include EFAP.* (CUPE2424-2016-10-28)

The response to this in the feedback summary in “EAFP is one of the many resources that Equity Services and Health and Counselling Services would refer to in counselling employees who have experienced sexual violence.” Indeed, we are happy that our members are referred to this service; however, some of our employees might not choose to go to Equity Services, because they might not choose to make a formal complaint. As for Health and Counselling Services, most of our members do not use Health and Counselling Services for anything more than a walk-in medical emergency.

*Administrators, in their roles as officers of the university adjudicate and enforce many other policies (e.g. the Student Rights and Responsibilities Policy, the Alcohol Policy, the Campus Ban Policy) related to conduct on the campus. These officers of the university regularly carry out these duties as part of their jobs without the involvement of outside actors.* (FSD-2016-11-16)

Several items in the Feedback Summary Document state that the policy is “survivor centric”. We believe that the insistence that all members of the Sexual Violence Review Committee (SVRC) be present in a meeting with the complainant if the complainant is

uncomfortable with some of them it not survivor centric. Equating this policy to other university policies surrounding misconduct does not put the importance of sexual violence to the forefront and we believe this to be contrary to the intent of the legislation.

*It is not clear in 9.6 (Review of report and committee meeting), if the Complainant must attend a meeting with the Respondent. It would seem intuitive that this would not be the case but several readers of the draft policy read it that way.* (CUPE2424-2016-10-28)

*In most circumstance, the Complainant and the Respondent will attend separate meetings with the Sexual Violence Committee. That said, in some cases procedural fairness may require that the Complainant and the Respondent attend the same meeting.*

(FSD-2016-11-16)

If you are suggesting that in some instances mediation may be appropriate (and it may be in some instances) then this should be stated. What other circumstance would “procedural fairness” apply to instances of sexual violence?

*This committee will include “employees” but there is nothing mentioned regarding the way members of the committee will be chosen. CUPE 2424 has representation on various University committees (as set out in Article 36 of our Collective Agreement). Currently non-active committees include President’s Advisory Committees on Personal Safety and for the Status of Women. CUPE 2424 would like representation on this committee.*

(CUPE2424-2016-10-28)

The Feedback Summary Document states that:

*“Individuals will be invited to self-nominate/apply for the Committee. Equity Services and the Office of the Vice-President (Students and Enrolment) will collaborate to choose an appropriate number of members from across the university to serve on the committee.”*

(FSD-2016-11-16)

As previously noted, this policy, as it pertains to workers, intersects with Health and Safety legislation. Just as unions choose their representatives to serve on the Joint Health and Safety Committee, the unions need to choose their own worker representative on this committee.

We continue to have concerns about the lack of clarification throughout the document in the role of unions in this process, although 8.7 specifically speaks to “applicable collective agreements”, there are instances where it would be helpful to clarify the Unions’ place, especially as it pertains to support of claimants and representation of Respondents.

Most of our remaining concerns concern the union representation for complainants and respondents:

- 8.1 should also refer to unionized members' right to the collective agreement grieving process when the Complainant is a unionized employee.
- 8.4 (b) states that if the respondent is a student, they may access Ombuds Services. It should also state explicitly that if the respondent is a unionized employee, they should contact their Union. This should be added to section (a).
- 9.1 a) says that if a Respondent is both a student and an employee, then both Student Affairs and HR will be involved. What if the Complainant is both an employee and a student?
- 9.4 (b) speaks to the Respondent's rights during investigatory meetings. There is nothing about the Complainant's right to Union representation or support.
- 9.6 (c) refers to the support person with no suggestion that this could include Union representation. It also makes the statement that a "supporter" can "attend as an observer only and may not speak on behalf of or represent the Complainant or the Respondent". This contravenes the Union's duty to represent members and needs correction as it pertains to unionized employees.
- Under 9.7 b) (Decision), it states that "In the case of a unionized employee, the decision of the Review Committee will also be communicated to the appropriate Manager/Supervisor under the collective agreement." If the Committee decides that the complaint is founded and the Respondent involved is a unionized employee, the Review Committee will also provide the appropriate Manager/Supervisor with a copy of the investigation report. The Union must receive a copy of the investigation report in the case of a respondent.
- The statement "The support person must also agree in writing to maintain confidentiality in accordance with this Policy", all unions are already required to maintain confidentiality in labour relations matters. They are not subject to additional confidentiality agreements.

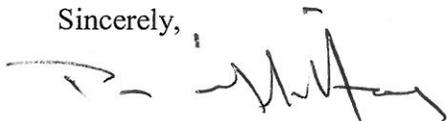
I would also like to discuss some items referred to in the Feedback Summary Document that CUPE 2424 did not comment on in our earlier letter:

1. Public Statements:
  - Does this preclude the decision to lay criminal charges at any point in the proceedings? One would assume no, but since a comprehensive list is provided in 8.5 b), this should be clarified.
  - CUPE 2424 fully supports making no public statement while the investigation is underway; however, if a complaint is founded, why can a complainant not make a public statement, even if the name were withheld? To hold any incident of sexual violence in eternal secrecy would seem to feed the illusion that sexual violence is uncommon and may hinder victims, especially those already vulnerable to seek assistance.
2. Scope – how can this policy apply to behavior off campus when not engaged in university activities? Although Bill 168 particularly speaks to domestic violence as

it relates to workers, as it should, this blanket statement on the private lives of anyone associated with Carleton University is outrageous. Students should be able to seek support services on campus, including any necessary academic accommodation but we feel this needs to be re-written in to both protect students but also recognize that the University should not be an active participant in private lives. It is also difficult to see how this is enforceable.

It is our understanding that the policy is being presented for approval at the December 1 meeting of the Board of Governors. We would like the opportunity to discuss this policy with you before it gets finalized. We most certainly hope that should the Board of Governors approve this policy on December 1 in order to meet provincial deadlines, that the policy itself can be subject to constant review (i.e. not wait for the three years indicated.) CUPE 2424 looks forward to continuing to work with the University to make this a safer community for all.

Sincerely,

A handwritten signature in black ink, appearing to read 'Pam Griffin-Hody', written over a horizontal line.

Pam Griffin-Hody  
President

cc R. Runte  
R. Thomas  
S. Blanchard  
S. Bharadia  
Members, CUPE 2424

# Response to the Community Update on the Sexual Violence Policy

Submitted November 23, 2016

The Carleton University Academic Staff Association (CUASA), the Human Rights Society, the Graduate Students' Association, CUPE Local 2424, and CUPE Local 4600 are submitting this response to the Community Update: Sexual Violence Policy that was made available on November 16, 2016. Some of the positive changes that were made to the Policy included:

- Modifying the definition of "University Community" to eliminate the possibility that Respondents could suspend the complaint process by ending their relationship with the University.
- Removing the clause that enabled the President to make exceptions.
- Adding language to address concerns about academic freedom by further outlining protections for faculty who teach sexually explicit material.

While it is recognized that the Community Update includes a number of important improvements to the Policy, there are several critical issues that need to be addressed further. These issues are detailed below with the goal of creating a strong policy that is survivor-centric and can be further improved over time.

**1. We recommend the Sexual Violence Prevention and Education Committee (established under section 5.2) be given the ability to make ongoing recommendations on the Policy.** The work of the Committee can be facilitated through Equity Services, while the Committee itself reports to the President and has the ability to address the Board of Governors. In the first years of implementing the Policy, the Committee will play a crucial role in assessing support services and the complaints process, while also working to address any unresolved issues in relation to the Policy, its implementation, as well as educational initiatives that are undertaken. The Committee would have access to non-identifying information on requests for support services as well as complaints.

**2. It is strongly believed that a survivor-centric policy for Carleton University should facilitate a complaint process that does not require the Complainant and Respondent to face each other in a formal hearing.** Requiring survivors of sexual violence to face the accused person makes the process of filing a complaint no less arduous than pursuing criminal charges through the legal system. Carleton University's policy should aim to make the process less onerous by ensuring that a Complainant is not forced into a meeting with the Respondent.

**3. Language must be included that protects a Complainant from reprisal for violations relating to alcohol or drug use.** The Community Update presents an argument against providing "blanket immunity" and states that the "mandate is to focus on sexual violence and the complaint at hand, independently of other policies." It is not possible to address sexual violence in isolation. It is unlikely that survivors will seek support services or file a complaint if they risk persecution under other policies. Language could easily be included that provides immunity under specific circumstances. The Policy could, for instance, specifically indicate to survivors that they will not be persecuted if they were in violation of alcohol or drug use policies at the time of the incident.

**4. Complainants should be able to speak publicly about their experience with the understanding that providing identifying information may jeopardize their case and / or leave them legally liable.** While clarifying the term "public statements" is a useful step, the expectation that survivors of sexual assault can only speak about their experiences for therapeutic purposes contributes to the silence surrounding sexual violence.

**5. To clarify the applicability of the Policy to off-campus events, the addition of the following sentence to section 3.1 is recommended:**

Off-campus interactions would reasonably fall under the scope of this policy when the outcomes of such interactions are reported to have an impact on an individual's ability to learn and/or work at Carleton University.



Graduate Students' Association

Carleton University | CFS Local 78

# **AGENDA ITEM**

## **5.2**

## APPOINTMENT GUIDELINES FOR

### PROVOST AND VICE-PRESIDENT (ACADEMIC)

### VICE-PRESIDENT (RESEARCH & INTERNATIONAL)

Approval Authority: Board of Governors  
Date Approved: April 2014  
Mandatory Revision Date: April 2017  
Responsible Office: University Secretariat

#### Article I: General

- 1.1 Pursuant to the *Carleton University Act* and the Bylaws of the University, the Provost and Vice-President (Academic) and the Vice-President (Research & International) (separately referred to in this policy as the “V-P”, or the “incumbent”) are appointed by the Board of Governors (the “Board”).
- 1.2 The V-P shall normally hold office for an initial term not to exceed six years, and shall also hold a tenured appointment at the rank of Professor in the University. The term of the incumbent V-P may be renewed once for a period not to exceed five years.
- 1.3 The term of office of the V-P may be extended for one year periods, for extenuating circumstances as determined by the Board. If exigencies require, the Board may appoint an Acting V-P for a period of up to one year and, in extenuating circumstances, such appointment may be renewed by the Board for such term as the Board deems expedient, acting reasonably.
- 1.4 These guidelines shall apply both in the case of the search for a new V-P, and in the case of consideration of an incumbent V-P for renewal of the initial term.
- 1.5 For the purposes of these guidelines, “Special Circumstances” shall mean a situation in which either for whatever reason, the V-P is unable or unwilling to finish her or his current term, or a recommendation is not made within the time allowed, as contemplated by Articles 4.2 and 5.1 of these guidelines. Should Special Circumstances occur, then these guidelines shall apply *mutatis mutandis* to the review or selection process (as

appropriate) undertaken, except with respect to limitations of time as they appear in these guidelines. In the event of the occurrence of Special Circumstances, the review or election process (as appropriate) will proceed with all reasonable dispatch, bearing in mind the significance of the appointment to the University.

## **Article II: Committee Process**

### 2.1 Advisory Committee

- (a) The Board shall make the appointment or re-appointment of the V-P on the recommendation of an Advisory Committee on the V-P (the "Committee"). The Executive Committee of the Board shall instruct the President to establish the Committee. The Committee shall remain active until the successful candidate has taken office or until such time as it is discharged by an action of the Board, whichever shall occur first.
- (b) In carrying out its duties pursuant to these guidelines, the Committee shall at all times observe and respect the highest equitable standards, including standards with respect to bias, the appearance of bias, and the fairness of its deliberations and investigations to all parties concerned. The Executive Committee of the Board shall have the responsibility of ensuring that the Committee's work is undertaken and completed in accordance with such standards, and shall have the power, acting reasonably, to take whatever corrective action it feels necessary should circumstances warrant, including (without limitation) the removal of members of the Committee. Without limiting the generality of the foregoing, the activities of the Committee will reflect the values represented in the University's Human Rights Policies and Procedures.
- (c) Except in Special Circumstances, the Executive Committee of the Board shall use its best efforts to establish the Committee not later than 12 months prior to the end of the incumbent V-P's term. Any recommendation on renewal will generally be made no later than nine months prior to the end of the incumbent's term.
- (d) The Committee shall ordinarily be composed of the following as members:
  - The President and Vice-Chancellor, as chair of the Committee *ex officio*
  - Two community-at-large members of the Board, elected by the Board
  - One member of the staff of the University (not being a member of Faculty or a professional Librarian, and not reporting directly to the V-P), selected by the President
  - One professional librarian, elected by Senate
  - One full-time tenured member of Faculty from each of the Faculties, at least two of whom shall hold the rank of Full Professor, elected by Senate
  - One senior administrator, elected by the Academic and Research Committee
  - The Assistant Vice-President, Human Resources
  - One undergraduate student and one graduate student, elected by Senate

The University Secretary or designate shall serve as the non-voting secretary of the Committee.

In her or his discretion, the President may make adjustments in the composition of the Committee.

The Committee shall elect its Vice-Chair from among its members.

### **Article III: Procedures**

- 3.1 The Committee shall determine its own procedures, subject to the following conditions:
- The Committee shall use its best efforts to consult widely with the University community and shall respect the requirement to communicate with the University community as it proceeds toward a recommendation.
  - Proceedings of the Committee shall be *in camera*. Members of the Committee shall hold in confidence all information discussed by the Committee. The requirement for confidentiality shall survive the discharge of the Committee.
  - When the Committee is discharged, all records associated with the work of the Committee shall be the responsibility of the University Secretariat. Each Committee member shall provide all such records to the University Secretariat at the earliest opportunity, and no copies shall be made or retained. The University Secretary shall ensure that all confidential records associated with the work of the Committee are destroyed immediately after the successful candidate takes office.
  - In the event that a Committee member ceases to serve for any reason, a replacement shall be elected or selected (as the case may be) by the same process and from the same constituency as the member withdrawing, except in the case where the work of the Committee has progressed to the point where the Committee decides, in its discretion acting reasonably, that the election or selection of a replacement is inappropriate.

### **Article IV: Reappointment Process**

- 4.1 As soon as practicable after the establishment of the Committee, and in the case that the incumbent is eligible for reappointment, the President shall communicate with the incumbent to determine if she or he wishes to be considered for reappointment.
- 4.2 If the incumbent wishes to be considered for reappointment, the following process shall be undertaken:
- The President shall begin the process by meeting with the V-P to discuss the review process.
  - The Committee shall proceed to evaluate the performance of the incumbent, using the criteria employed in the appointment of the incumbent, the outcome of annual performance reviews conducted by the President, and input from members of the University community, all as deemed appropriate by the Committee.

- The Committee shall meet with the incumbent to review her or his performance and to discuss the incumbent's plans if she or he were to be reappointed.
- After the Committee has formulated its recommendation to the Board, the President shall meet in confidence with the V-P to review the general findings of the Committee and the nature of the recommendation to be made to the Board.
- The Committee shall use its best efforts to provide a recommendation on reappointment to the President no later than nine months before expiration of the incumbent's term of office. The President shall carry the Committee's recommendation forward to the Board. In the event that the Committee cannot reach a recommendation within the time allowed, then the Board shall be advised, and the Board may either grant an extension of time or strike a new committee pursuant to these guidelines.

#### **Article V: Search Process**

5.1 In the event that either the incumbent does not seek reappointment, the incumbent is not eligible for reappointment, or the Board decides against reappointment, then the Committee shall undertake a search for a new V-P in accordance with the following process:

- Acting on the recommendation of the President, the Board shall determine if the search is to be comprehensive (external), or whether it should be limited to an internal search.
- In the case of a comprehensive search and on the recommendation of the Committee, the University shall engage the services of a highly qualified executive search consultant, specializing in senior-level institutional searches to assist the Committee in its work.
- The Committee shall solicit input from the University community concerning the profile for the next V-P.
- The position shall be widely advertised through such media and at such times as the committee may decide in its discretion, inviting applications and nominations. The Committee shall be free to approach individuals to request that they allow their names to stand for the position.
- The Committee shall establish its own procedures for assessing candidates consistent with the issues, challenges and desired characteristics and attributes that have been identified in the profile, and shall interview selected candidates.
- The Committee shall use its best efforts to provide a recommendation to the President not later than three months before expiration of the incumbent's term of office. The President shall carry the Committee's recommendation forward to the Board. In the event that the Committee cannot reach a recommendation within the time allowed, then the Board shall be advised, and the Board may either grant an extension of time or strike a new committee pursuant to these guidelines.

#### **Article VI: Recommendation**

# **AGENDA ITEM**

## **5.3.1**

|                    |   |
|--------------------|---|
| <b>COMMITTEE:</b>  | <b>Board of Governors</b>   |
| <b>MEETING:</b>    | <b>December 1, 2016</b>   |
| <b>ORIGINATOR:</b> | <b>Vice-President (Finance and Administration)</b>                    |
| <b>ITEM:</b>       | <b>Sprott School of Business Building – Schematic Design Approval</b> |

## **I. MATERIAL ATTACHED**

- Capital Project Approval and Control Document
- Schematic Design Presentation

## **II. DECISIONS REQUIRED**

- To approve the Schematic Design for the new School of Business Building

## **III. BACKGROUND**

At a previous meeting of the Building Program Committee, approval was received as follows:

- To approve the location of the new School of Business Building
- To approve the process to appoint the Design Team
- To approve the appointment of the Design Team

The construction of a Business School Building is our highest major capital priority and was given significant impetus by the donation of \$10 million by Wes Nicol in 2014. We have also allocated \$11.9 million towards the project in 2015- 2016 and 2016-2017 operating budgets.

It has been determined that the School of Business Building is not eligible for Federal Infrastructure funding.

The Board of Governors in March 2016 approved \$2.2 million for the early design of the new Business School Building and directed that the contract provide options for early termination of the design process.

The enrolment in the Business School first year undergraduate programs has been essentially flat since 2010 (511 FTE) to 2015 (508 FTE). Confirmation for undergraduate enrolment in Fall 2016 are currently 10% higher than this time last year. Graduate enrolment has increased from 51 FTE in 2010 to 88 FTE 2015 with most of the growth from the addition of a Masters of Accounting Program.

The Sprott School of Business submitted a plan in December 2015 for a 30% increase in enrolment by 2020 – 2021. It will be necessary for the Sprott School of Business to demonstrate progress towards achieving this growth before the University would award a contract for constructing the building.

The Consultant Agreement has been structured such that the design process could be suspended or terminated at the Schematic Design Stage, with an estimated cost of \$400,000, or at the end of Design Development (approximately 50% design documentation) for an additional \$600,000.

#### **IV. ANALYSIS**

The School of Business Building will be approximately 100,000 square feet gross and include the following: public assembly space, electronic and interactive classrooms, student resource room, office space, space for entrepreneurial programming and some shell space for future program growth in the project budget of \$48 million. The School of Business Building could be completed and ready for occupancy in the summer 2020. The School of Business Building will be located on parking lot 2 next to the Architecture Building.

#### **V. ABOUT THE DESIGN**

**the Attractor: A great business school attracts and retains the very best students and faculty.**

The site, and its relationship to the wider campus, acts as a natural point of attraction. The building will become a fulcrum of energy resting on the intersection of east and west; the convergence of three branches of the tunnel system; adjacency to Campus Avenue, and close proximity to a busy drop-off area. Our design will not only establish an exceptional building to enhance the goal of the Sprott but will act as a node for the greater Carleton community encouraging flow through, and interaction with the building.

**the Collector: A great business school is about building community, bridging connections, fostering exchange – and the establishment of lifelong relationships.**

The arc of the curves will gently gather and funnel energy towards the centralized heart – the forum – the jewel within. The very core of the building, designed to ignite sparks of excitement, encourage collaboration, facilitate learning and set the stage for the Sprott School of Business and Carleton. We have programmed the first floor with facilities to impress and instill confidence in the integrity of the institution; the Forum as the pinnacle radiating out to reveal the world-class Research Centre, Resource Centre, and Innovation Accelerator. The first floor opens dramatically upwards to the second and third levels, which arc around a sky-lit three storey opening – firmly engaging the community of classrooms.

**the Embrace: It should be self-evident that Sprott expresses itself as a coherent whole – creating engagement around a dynamic centre, and addressing the campus eloquently on all sides.**

Our curved design will sit on the site, proud and distinctive, amongst the rectangular geometry of the existing buildings – the gentle arc encircling the contents within. Through the careful selection of cladding materials we will ensure cohesion by embracing and echoing the concrete and brick façades of the traditional campus buildings and the vast expanses of glazing on the newer structures.

At the heart of this approach lies the insight that design for collaboration is fundamental to Sprott's pedagogy.

#### **Program**

The Lower Level celebrates the entrance to, and connection with, the tunnel system and, by extension, the wider campus. At the intersection of the underground paths, a skylight and stair opens to light from above to demarcate the location of the business school. This level houses the Trading Lab, Active Learning lab, and student lockers. The remainder of the footprint houses the mechanical, electrical, and water infrastructures of the building.

The Ground Floor organizes dynamic communal programs around the main lobby event space, the 'Collector', feeding it with energy and life. This dynamic three-storey, core is accentuated with a feature stair, linking the Ground Floor to the teaching areas on the Second and Third Floors. The two main entrances are flanked by the food services/café, Innovation Accelerator and Research Centre. The programs are supported by Building Operations, Loading, Storage, and AV Support.

The second and third Floors are programmed as two-storeys of teaching space wrapped around the core; house the main instructional spaces, including two 120 seat classrooms, two 80 seat classrooms, four 50 seat classrooms, six breakout rooms, and two seminar rooms. The 200 seat Lecture Theatre is located on third floor, sloping slightly with accessible ramp and is taking advantage of the long southward views with its expansive glass-louvered wall. The undergraduate program, business career centre spaces, and MBA open concept offices occupy the rest of these two floors.

The 4<sup>th</sup> Floor the core of the building is hollowed out, creating an arc of programming around an open green space. This allows for outdoor study and social areas overlooking the proposed Entry Quad and River. Graduate and professional programs, student work stations, computer lounges and staff offices are housed within this floor.

The fifth floor is shelled space for future programming and development.

The sixth floor is reserved for the Dean's Suite and staff offices. Capping the south-east corner of the building is an executive look-out lounge that capitalizes on the long-views.

## **VI. PROJECT FUNDING**

The cost to prepare construction documents that would allow the project to proceed to tender is \$2.0 million. These funds will come from the \$10 million donation provided by Wes Nicol. Approval of funding will be considered by the Finance Committee at its next meeting.

## **VII. OPTIONS**

- (i) Approve the recommended Schematic Design as presented; or
- (ii) Ask the Design Team to reconsider the Schematic Design.

## **VIII. RECOMMENDATION**

Approve Option (i) above.

## CAPITAL PROJECT APPROVAL AND CONTROL DOCUMENT

- I. **PROJECT NAME:** Sprott School of Business Building  
**PROJECT NUMBER:**  
**CSP NUMBER:**

II. **DESCRIPTION**

**What**

The School of Business Building will be approximately 100,000 square feet gross and include the following: public assembly space, electronic and interactive classrooms, student resource room, office space, space for entrepreneurial programming and some shell space for future program growth in the project budget of \$48 million.

**Where**

The School of Business Building will be located on Parking Lot 2 next to the Architecture Building.

**When**

|                                  |                |
|----------------------------------|----------------|
| Appointment of Architect         | May 2016       |
| Completion of Preliminary Design | October 2016   |
| Construction Start               | May 2017       |
| Substantial Completion           | June 2019      |
| Occupancy                        | September 2019 |

**Why**

The Sprott School of Business submitted a plan in December 2015 for a 30% increase in enrolment by 2020 – 2021. It will be necessary for the Sprott School of Business to demonstrate progress towards achieving this growth before the University would award a contract for constructing the building.

**Why now**

The construction of a Business School Building is our highest major capital priority and was given significant impetus by the donation of \$10 million by Wes Nicol in 2014. We have also allocated \$7 million towards the project in 2015- 2016 operating budget.

**III. Cost Estimate**

|                                     | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|-------------------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Construction Cost</b>            | 38,000             | 38,000                    |                     |                 |
| <b>Furnishings/Equipment</b>        | 1,500              | 1,500                     |                     |                 |
| <b>Site Development/Landscaping</b> |                    |                           |                     |                 |
| <b>Sub-Total Building Cost</b>      | <b>39,500</b>      | <b>39,500</b>             |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>Fees</b>                         | 4,000              | 4,000                     |                     |                 |
| <b>Contingencies</b>                | 2,000              | 2,000                     |                     |                 |
| <b>Sub Total</b>                    | <b>45,500</b>      | <b>45,500</b>             |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>Communications (CCS)</b>         | 1,000              | 1,000                     |                     |                 |
| <b>Financing Costs</b>              |                    |                           |                     |                 |
| <b>HST</b>                          | 1,500              | 1,500                     |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>TOTAL</b>                        | <b>48,000</b>      | <b>48,000</b>             |                     |                 |

**IV. Cost by Fiscal Year**

|                   | <b>2016-2017</b> | <b>2017-2018</b> | <b>2018-2019</b> | <b>2019-2020</b> |
|-------------------|------------------|------------------|------------------|------------------|
| <b>Ministry</b>   |                  |                  |                  |                  |
| <b>University</b> | 2,000,000        | 18,000,000       | 18,000,000       | 10,000,000       |
| <b>Others</b>     |                  |                  |                  |                  |
| <b>TOTAL</b>      |                  |                  |                  |                  |

**V. Approvals**

|                           | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|---------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Board of Governors</b> | June 28, 2016      |                           |                     |                 |



**NEW SPROTT SCHOOL OF BUSINESS**  
**Schematic Design Update**

**HARIRI PONTARINI**  
**ARCHITECTS**

October 31, 2016

*Creative:* At Sprott, we understand the fundamental importance of creativity and innovation, and have made them a core part of our programs, teaching, and research.

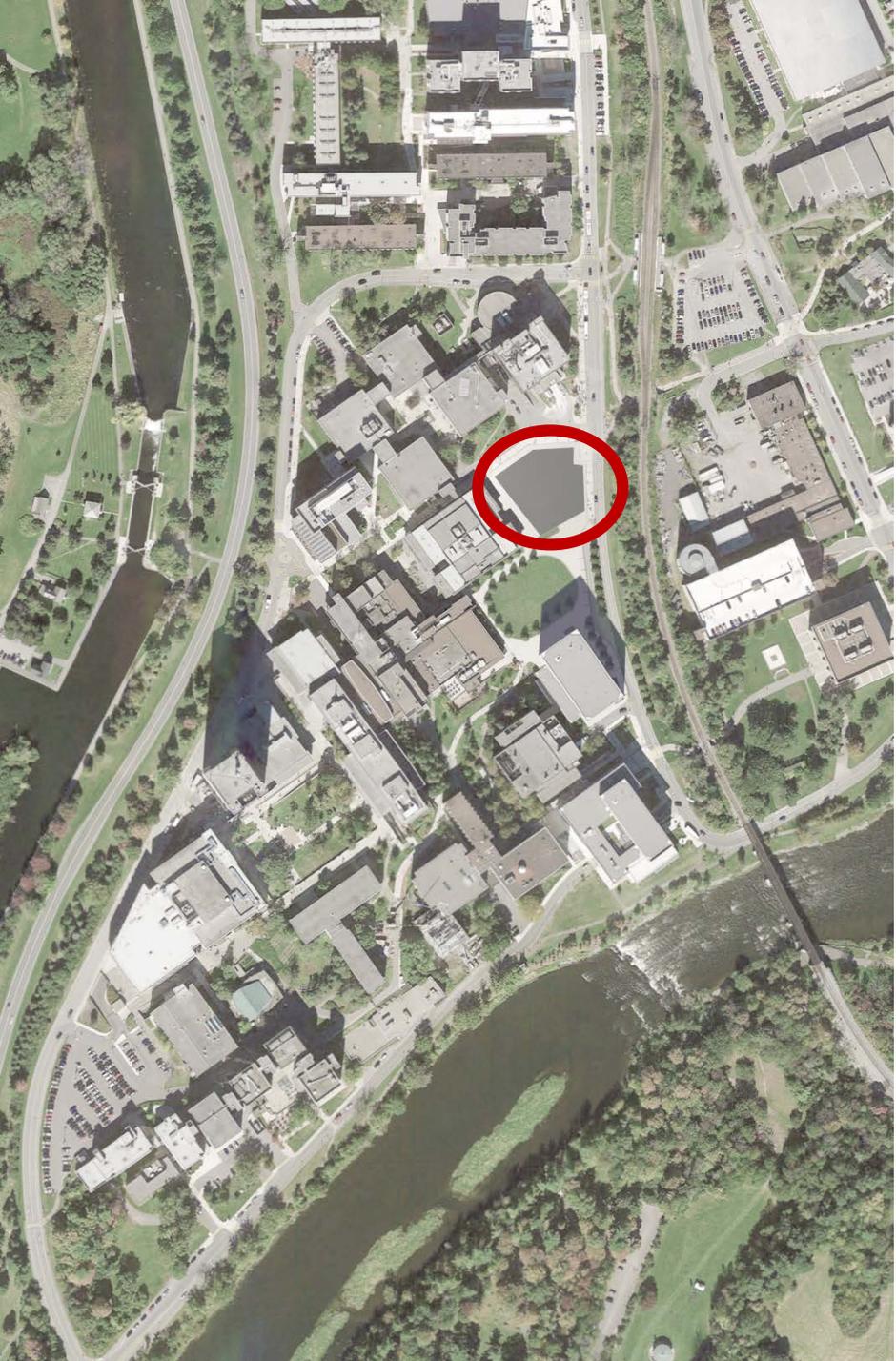
*Connected:* At Sprott, we are connected to the world, to our community, to our partners, and to the decision makers who shape the business environment.

*Caring:* At Sprott, we form strong bonds between students, alumni, faculty and staff. We believe that businesses and educators have an important social responsibility to build and support the welfare and well-being of our communities.

*Innovation* characterizes our ground-breaking initiatives in helping students realize their full potential to be effective citizens and lifelong learners.

*Collaboration and Partnerships:* As a modern university, Carleton is an active partner with communities, business, industry, government, institutions and organizations, providing research, education opportunities and solutions to the challenges of society and the economy.





### ***Sprott in Place***

The new Sprott School of Business is uniquely sited to be a pivotal building block in the enhancement of Carleton's Masterplan.

As a key place-making site our Sprott proposition will:

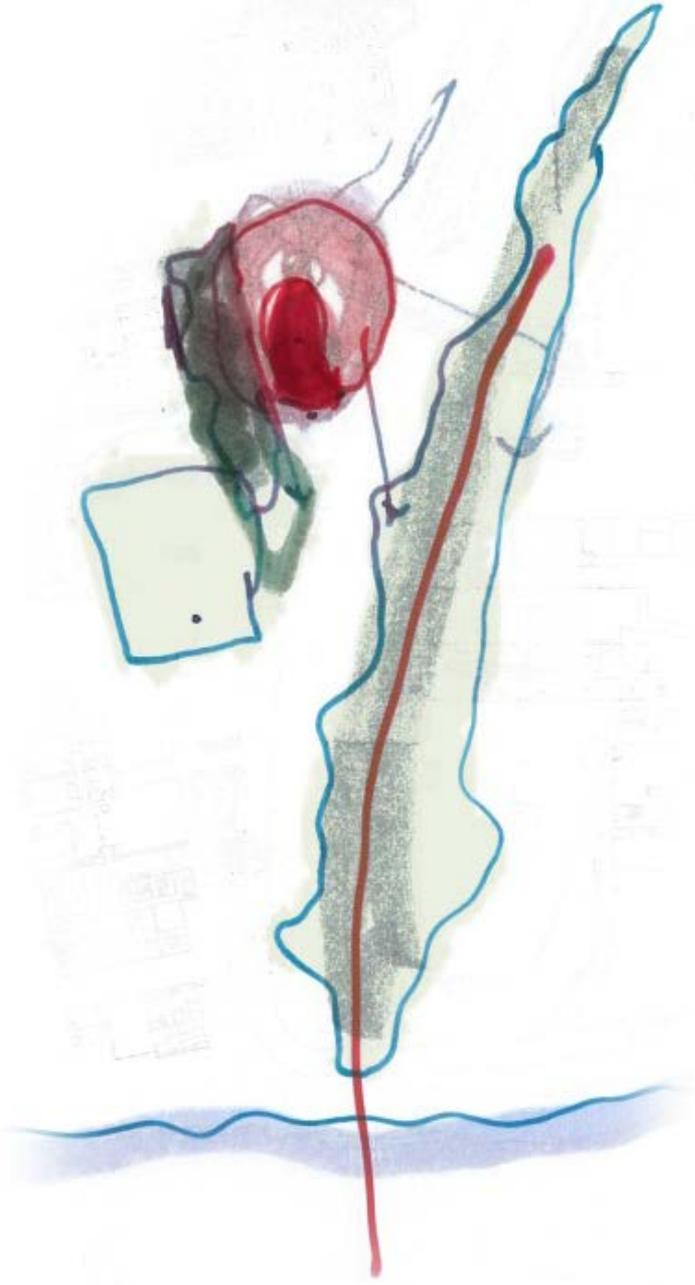
- Delineate Campus Avenue and the proposed Entry Squad
- Create a gateway to the Academic Campus
- Provide a celebrated and bright entrance to the tunnel system
- Be a hub adjacent to the main transit / bus line
- Mark the main pedestrian pathways into campus
- Promote environmental responsibility by responding directly to the green framework of the proposed Entry Quad
- Engage connection with the River; viewed prominently from the Fourth Floor green roof terrace

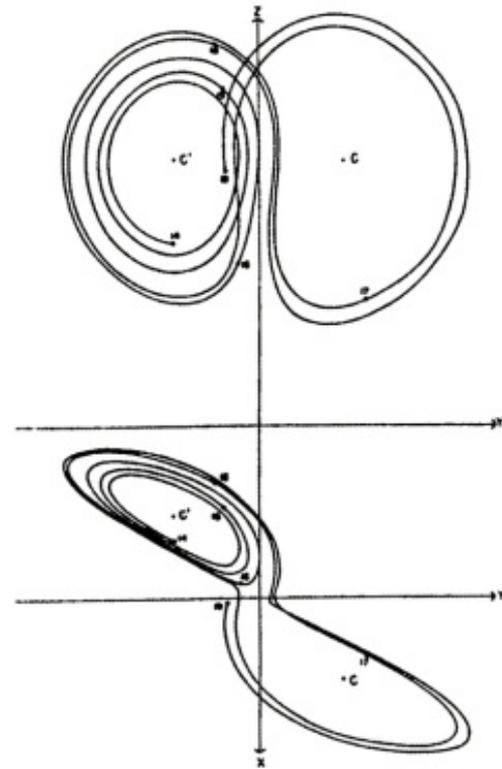
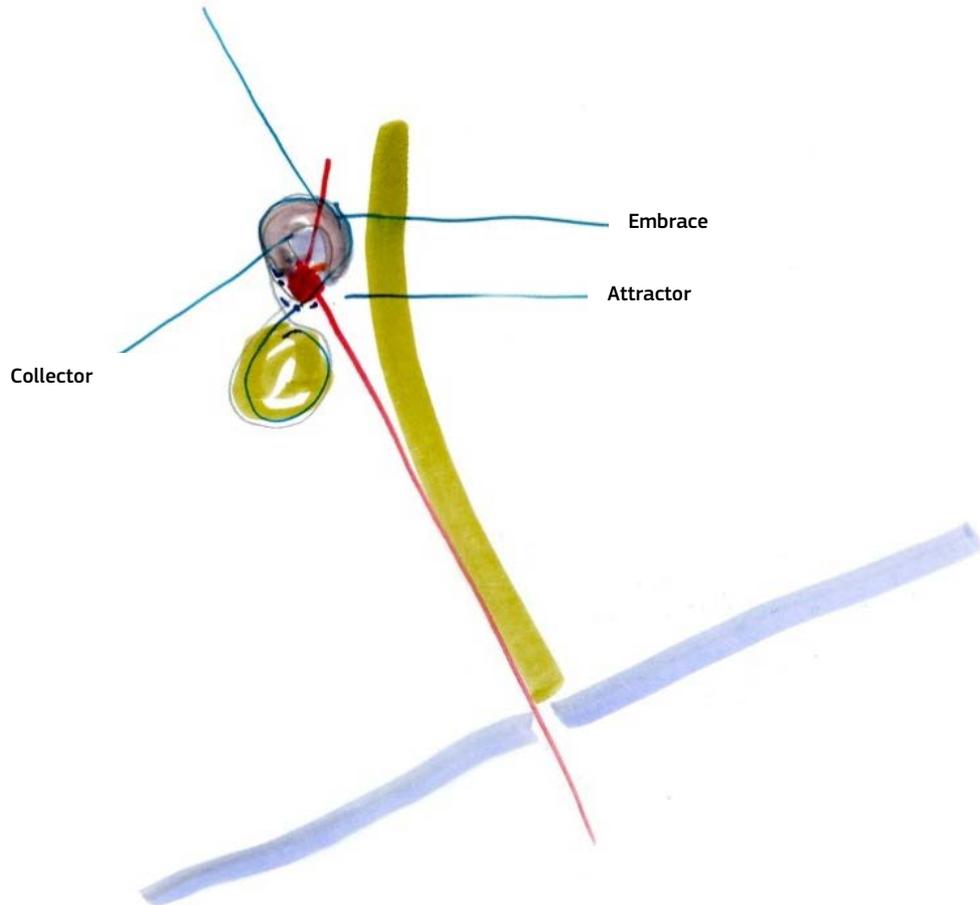
### ***Sprott in Time***

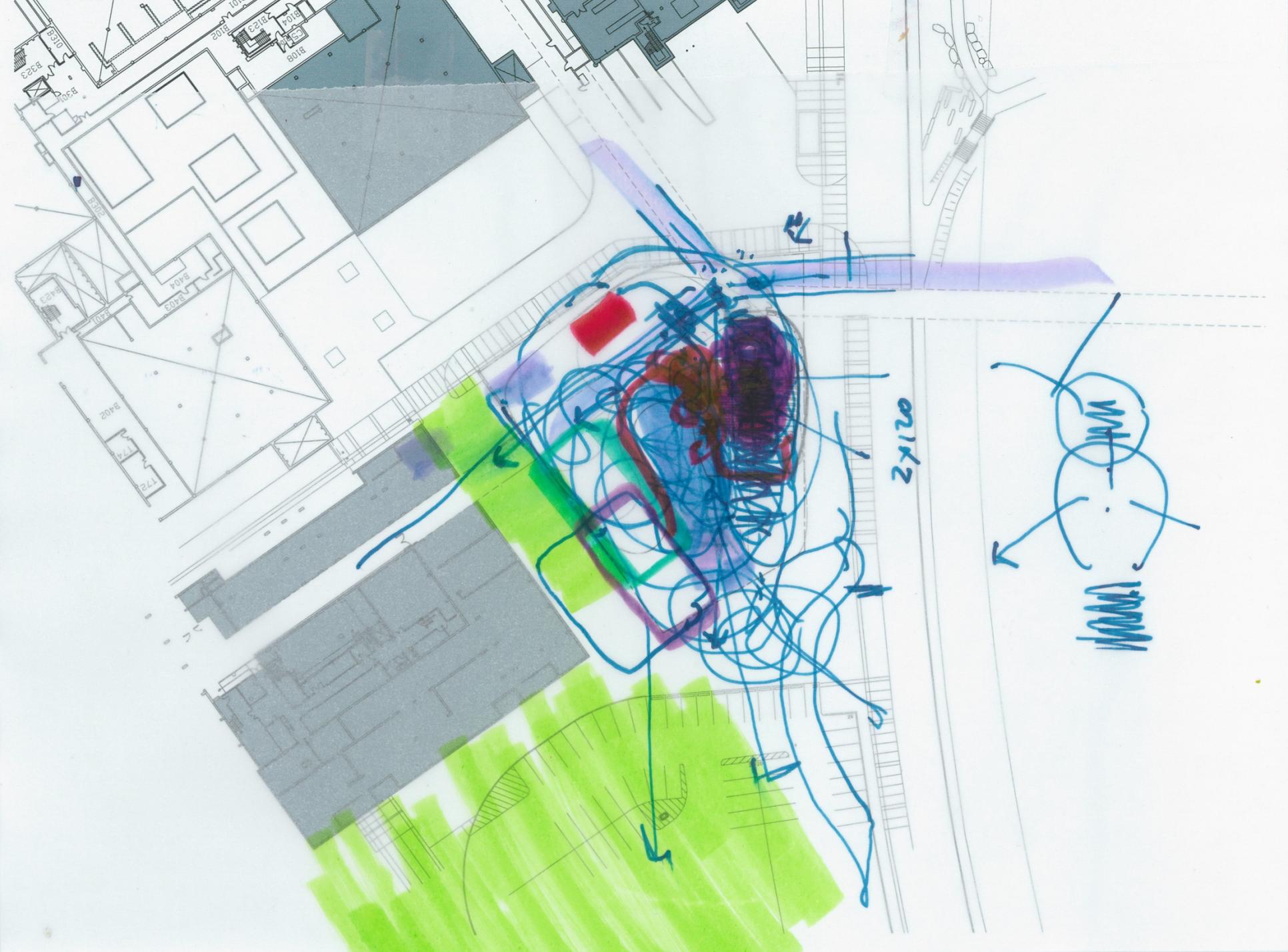
- The design anticipates the next stage of the Sprott School of Business' growth and will contribute to the transformation of the wider Carleton Campus.

### ***River Views***

- The siting of our building will be oriented to open up to the south, along Campus Avenue, and flow down to the Rideau River.
- Extruding the building up from three to six storeys at the north side will allow for stunning views for all the offices and program components.

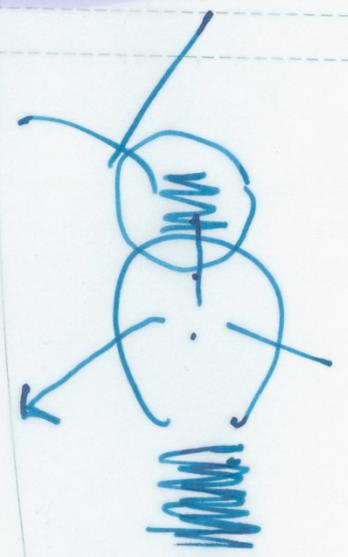






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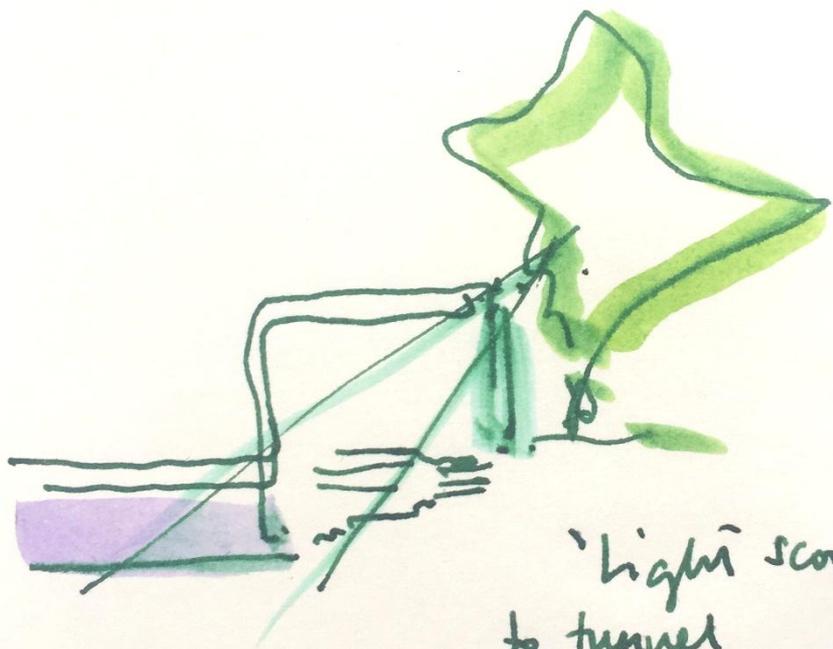






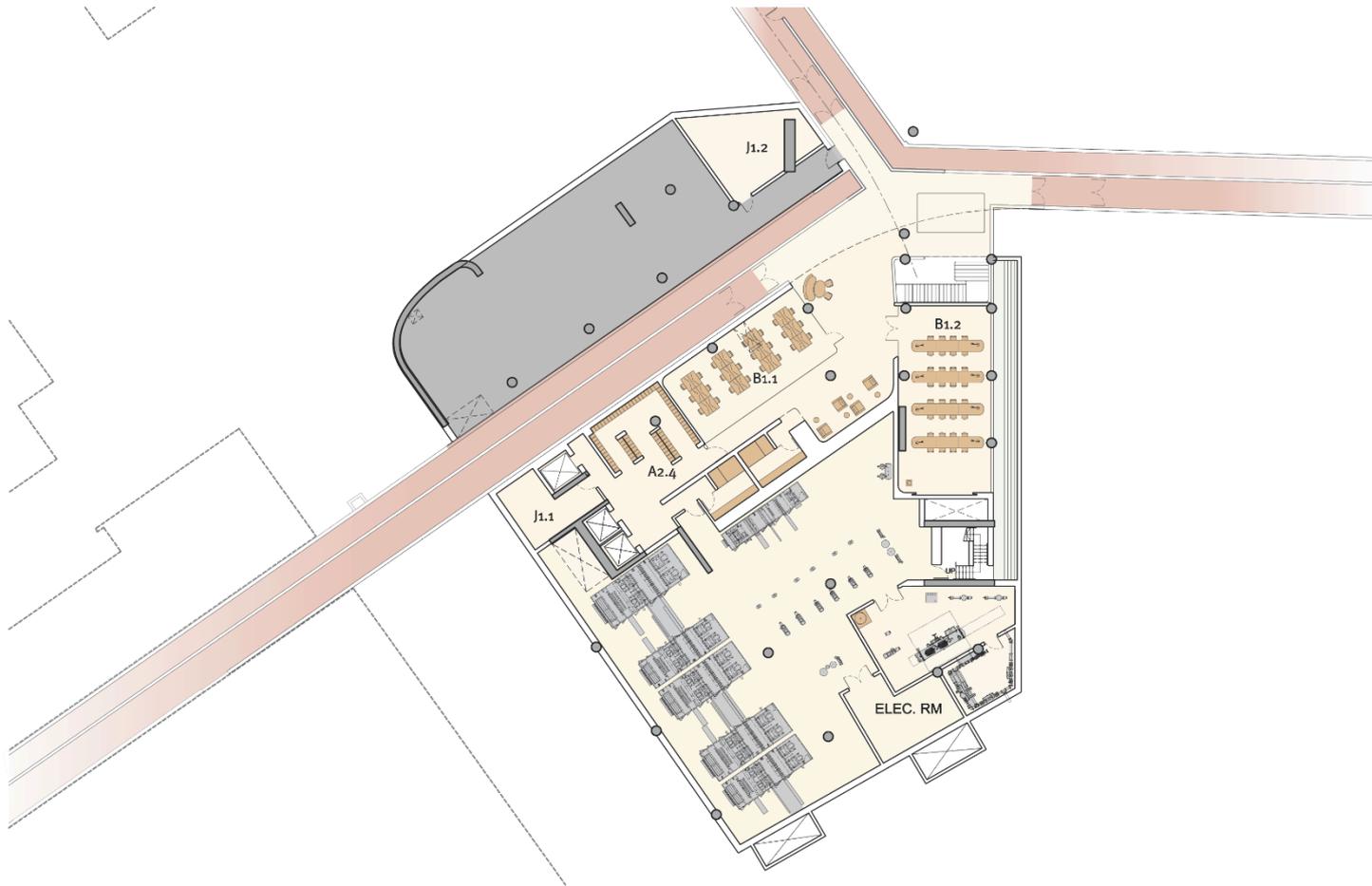


Site Plan



'light scoop  
to tunnel

Sprate"



A - PUBLIC SPACE  
 A2.4 - Lockers

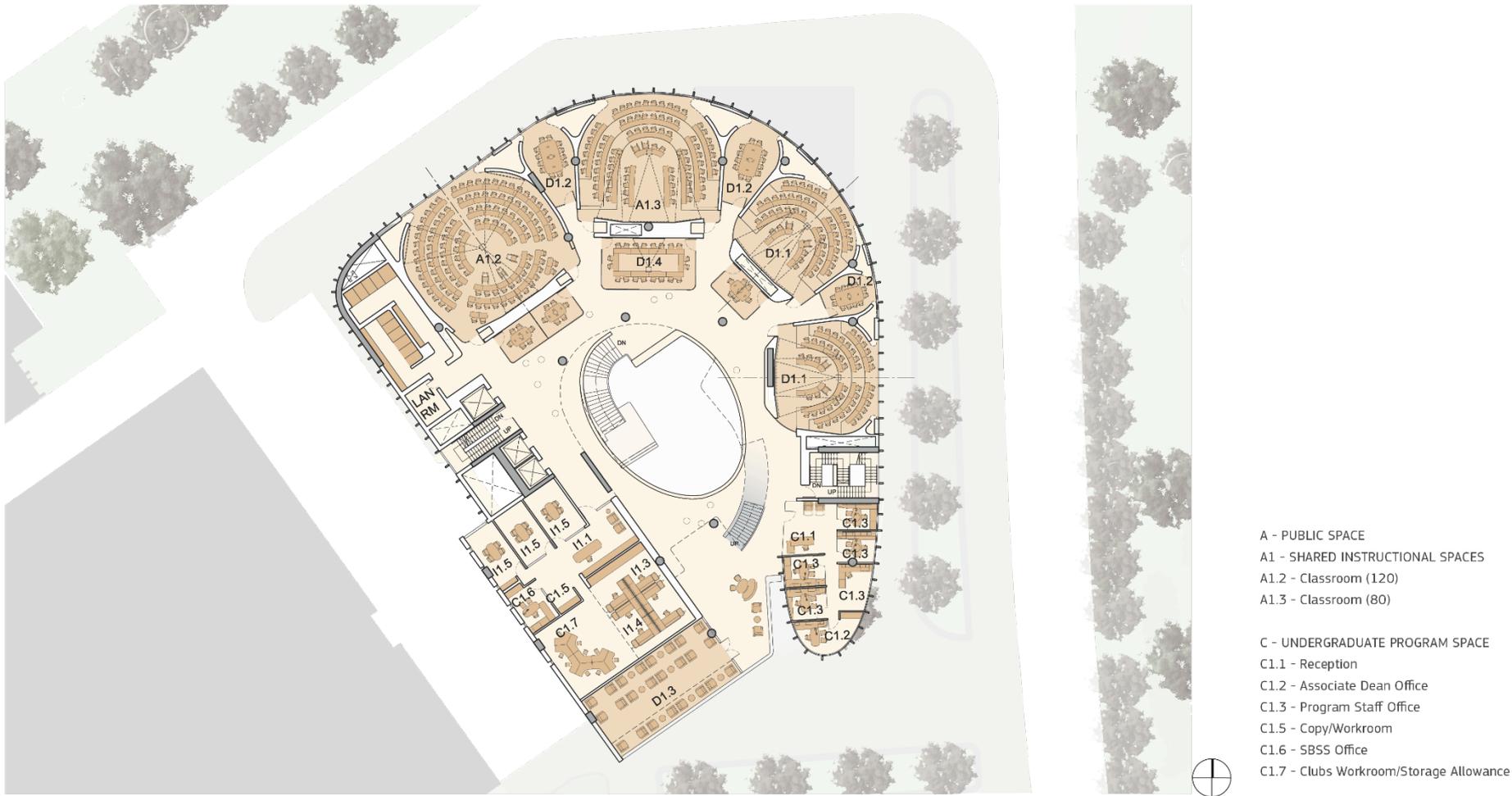
B - INSTRUCTIONAL SPACE  
 B1.1 - Trading Lab (25)  
 B1.2 - Active Learning Lab (30)

J - BUILDING OPERATIONS SPACE  
 J1.1 - General Building Storage  
 J1.2 - Allowance for General Building Storage



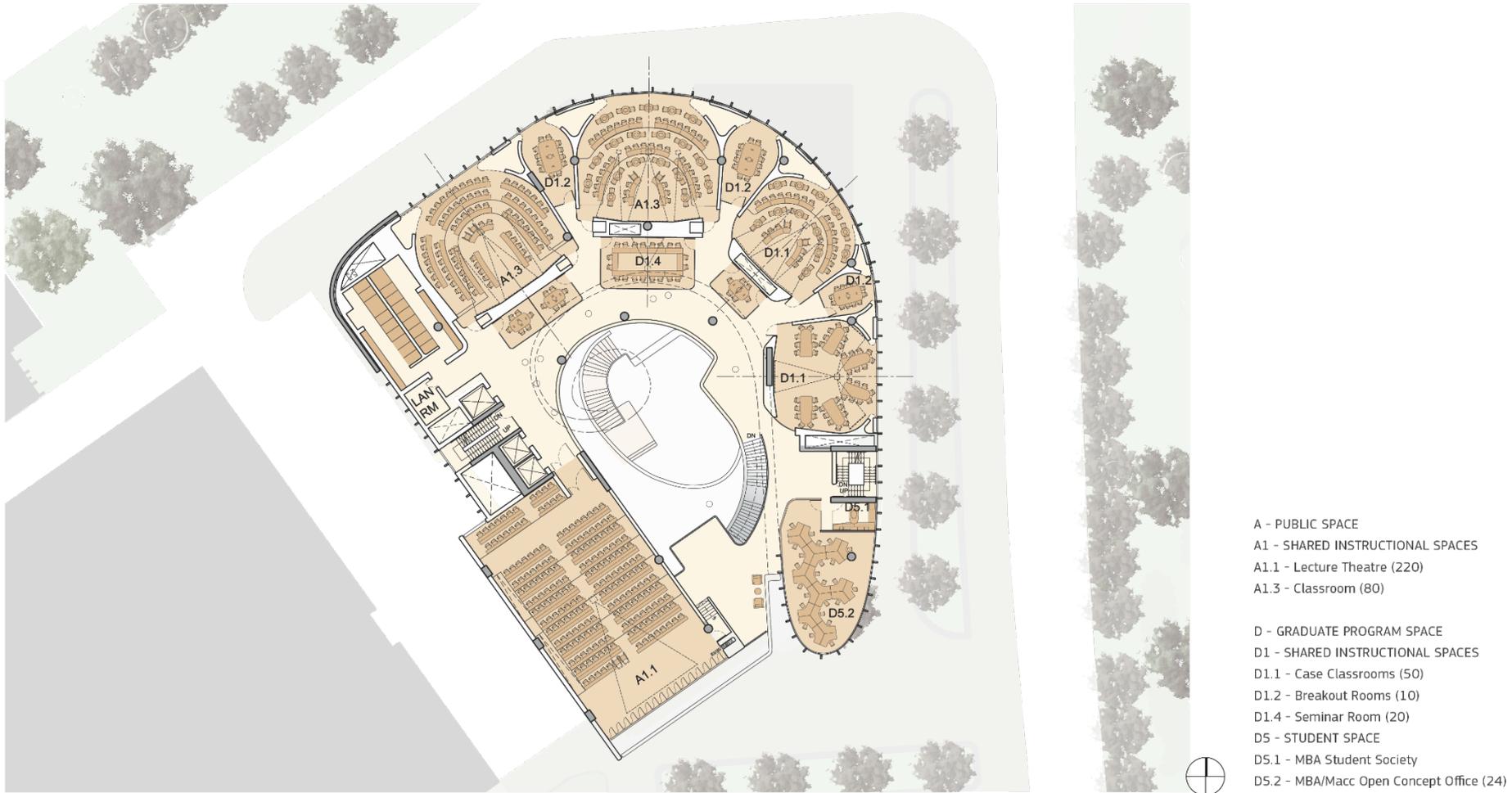
Tunnel Level





- A - PUBLIC SPACE
- A1 - SHARED INSTRUCTIONAL SPACES
- A1.2 - Classroom (120)
- A1.3 - Classroom (80)
  
- C - UNDERGRADUATE PROGRAM SPACE
- C1.1 - Reception
- C1.2 - Associate Dean Office
- C1.3 - Program Staff Office
- C1.5 - Copy/Workroom
- C1.6 - SBSS Office
- C1.7 - Clubs Workroom/Storage Allowance

2nd Floor

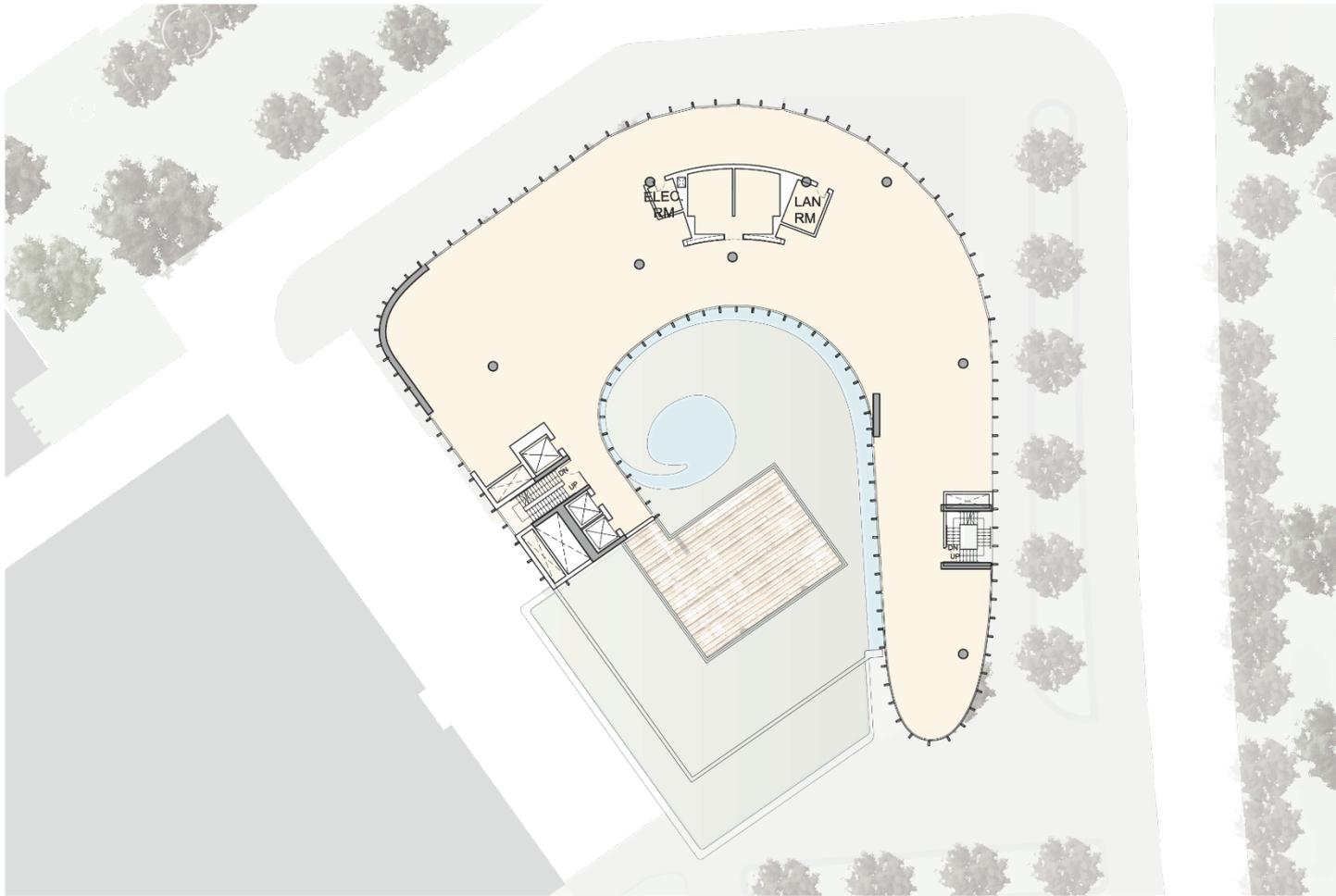


3rd Floor



- D - GRADUATE PROGRAM SPACE
  - D2.1 - Reception/Waiting Area
  - D2.2 - Associate Dean Office
  - D2.3 - Program Staff Office
  - D2.4 - Program Staff Workstation
  - D3.1 - Post Doc Offices
  - D3.2 - PhD Workstations
  - D3.3 - Director PhD Program Office
  - D3.4 - PhD Program Co-ordinator Office
  - D3.5 - Director MAcc Program Office
  - D3.6 - MAcc Program Coordinator Office
  - D3.7 - Copy/Workroom
  - D4.1 - Computer Lab
  - D4.2 - Director Office
  - D4.3 - Staff Office
  - D4.4 - Student Workstations
  
- E - RESEARCH SPACE
  - E1.3 - CREWW Staff Workstations
  
- F - PROFESSIONAL PROGRAMS SPACE
  - F1.1 - Reception/Waiting Area
  - F1.2 - Director Office
  - F1.3 - Professional Programs Staff Office
  - F1.4 - Professional Programs Staff
  - F1.5 - Copy/Workroom
  
- G - ACADEMIC OFFICE SPACE
  - G1.1 - Faculty - Full Time
  - G1.3 - Visiting Scholars/Executive

4<sup>th</sup> Floor



K - SHELL SPACE  
K1 - Future Development

5<sup>th</sup> Floor

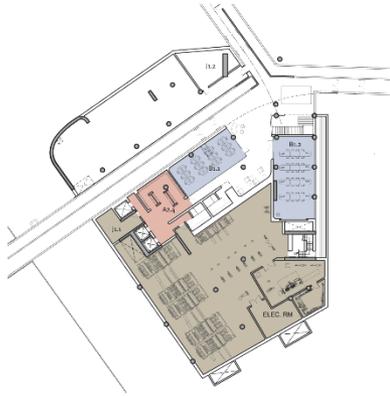


G - ACADEMIC OFFICE SPACE  
 G1.1 - Faculty - Full Time  
 G1.2 - Contract Instructors

H - DEAN'S OFFICE SPACE  
 H1.1 - Dean's Office  
 H1.2 - Executive Assistant  
 H1.3 - Administrative Officer's Office  
 H1.4 - Communications Workstations  
 H1.5 - Alumni Office  
 H1.6 - Development Office  
 H1.7 - Faculty Services Office  
 H1.8 - Faculty Services Workstation  
 H1.9 - Manager Computing Office  
 H1.10 - Technician Workstation  
 H1.11 - Reception Area  
 H1.12 - Boardroom (24)  
 H1.13 - IT Server Room  
 H1.14 - Copy/Workroom

I - BUSINESS CAREER CENTRE SPACE  
 I1.2 - Director's Office

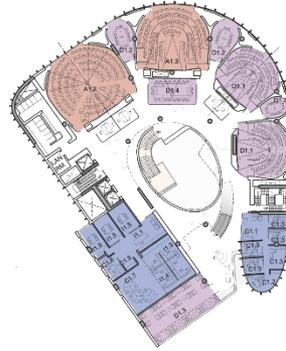
6<sup>th</sup> Floor



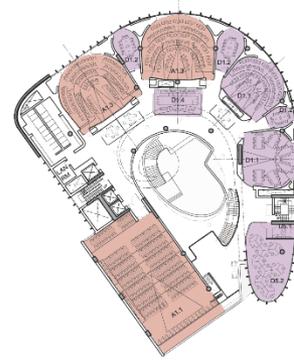
Tunnel / Lower Level  
Floor Area: 13,480 sq.ft.



Ground Floor  
Floor Area: 16,345 sq.ft.



2<sup>nd</sup> Floor  
Floor Area: 22,030 sq.ft.

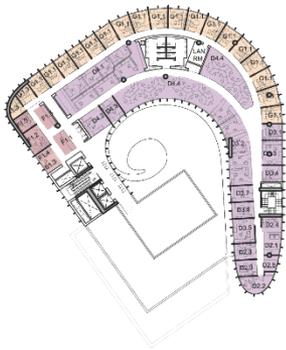


3<sup>rd</sup> Floor  
Floor Area: 22,030 sq.ft.

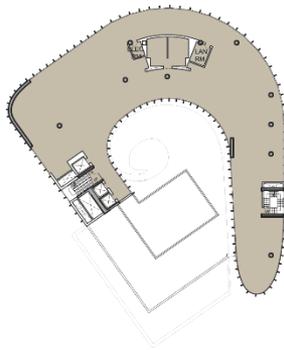
**The Sprott Proposition**  
Program Diagrams

- A - Public Space
- B - Instructional Space
- C - Undergraduate Program Space
- D - Graduate Program Space
- E - Research Space
- F - Professional Programs Space
- G - Academic Office Space
- H - Dean's Office Space
- I - Business Career Centre Space
- J - Building Operations Space
- K - Shell Space

Total Floor Area: 112,675 sq.ft.  
Total Opening, voids, shaft: 7,500 sq.ft.  
Total Gross Floor Area: 105,175 sq.ft.



4<sup>th</sup> Floor  
Floor Area: 12,930 sq.ft.



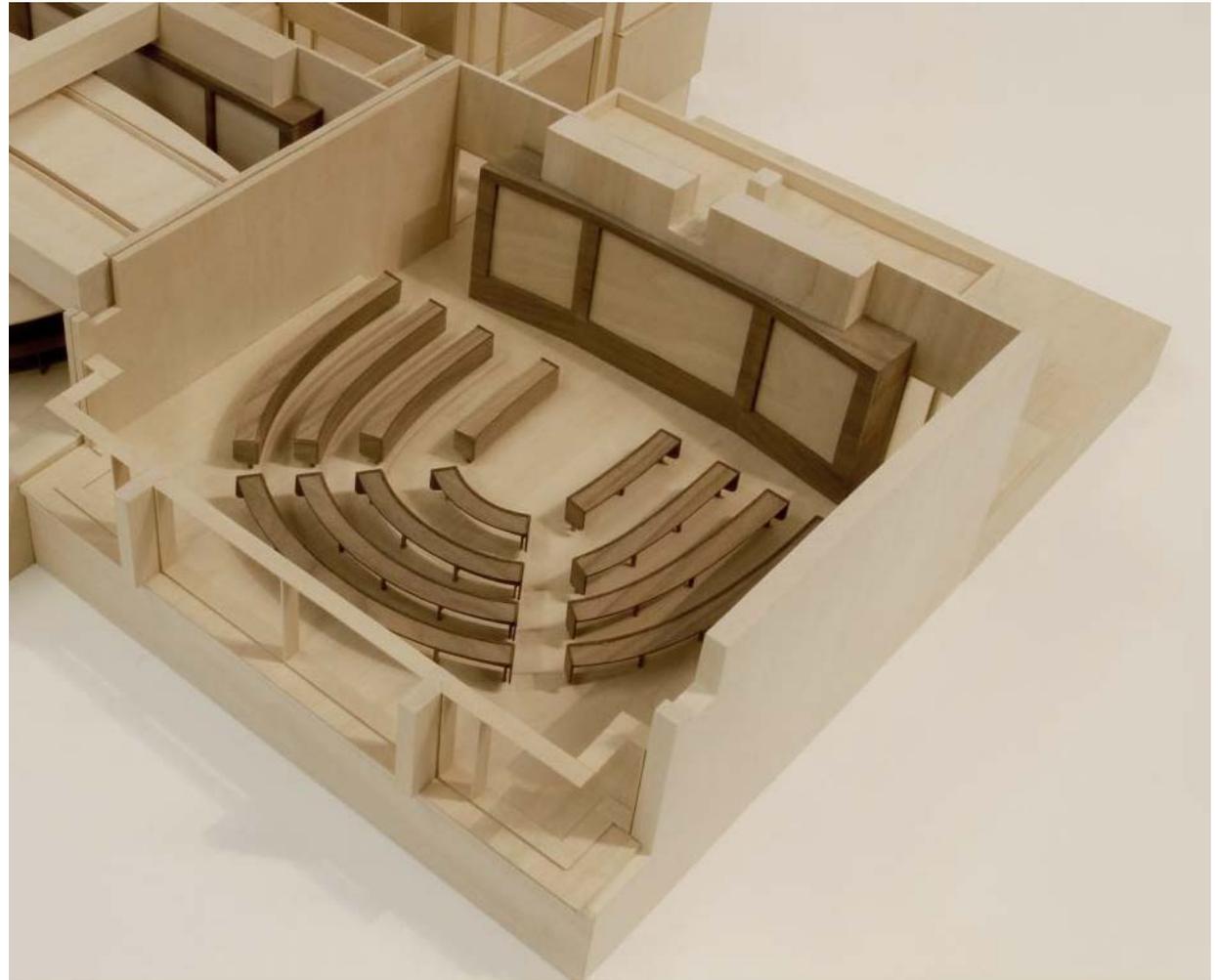
5<sup>th</sup> Floor  
Floor Area: 12,930 sq.ft.



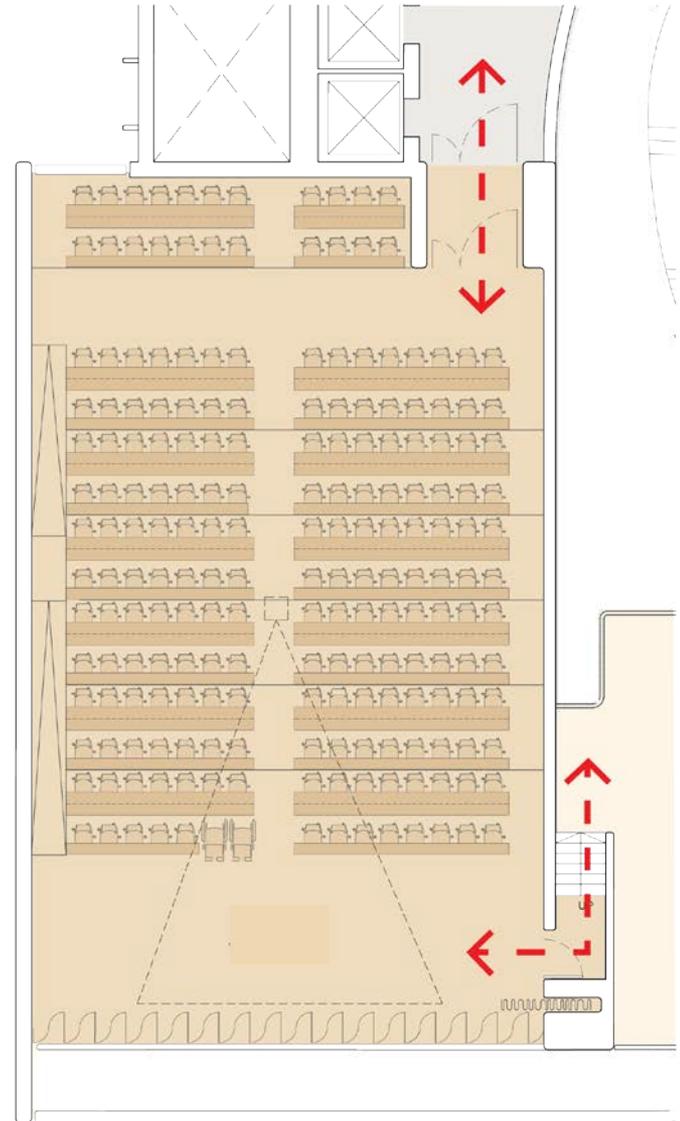
6<sup>th</sup> Floor  
Floor Area: 12,930 sq.ft.



## TEACHING SPACE CONFIGURATIONS

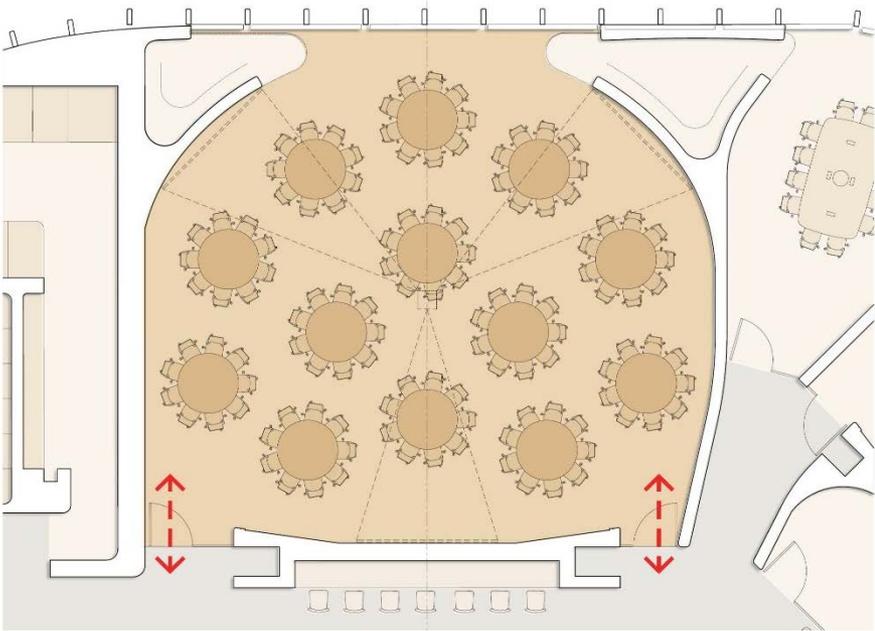
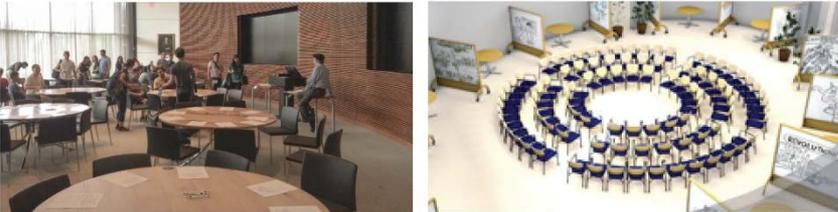


# AUDITORIUM (200)

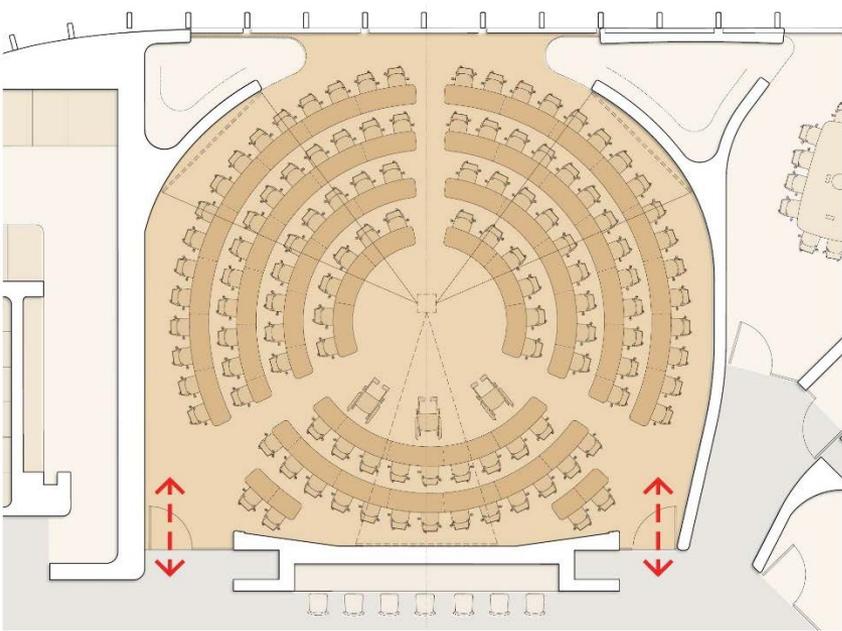


**Tiered, Group Tables**  
202 Seats

# CLASSROOM (120)

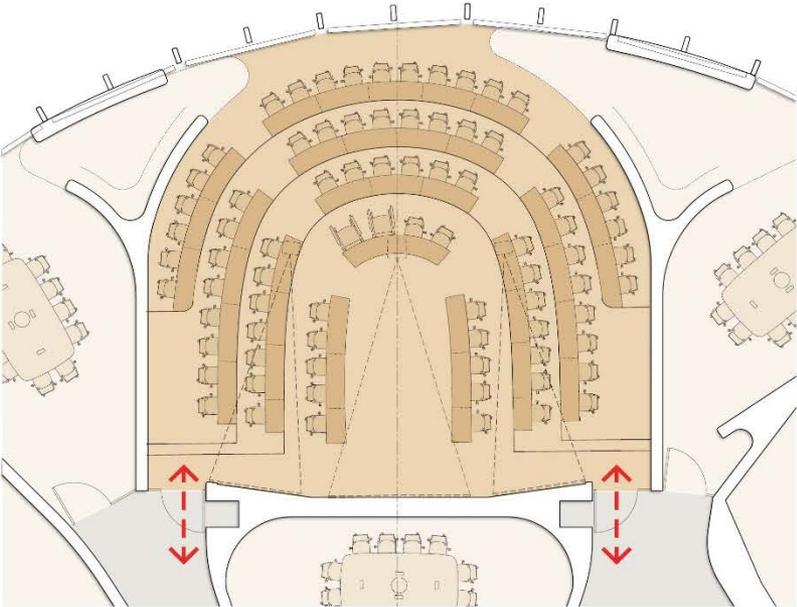


**Flat Floor, Symposium**  
117 Seats

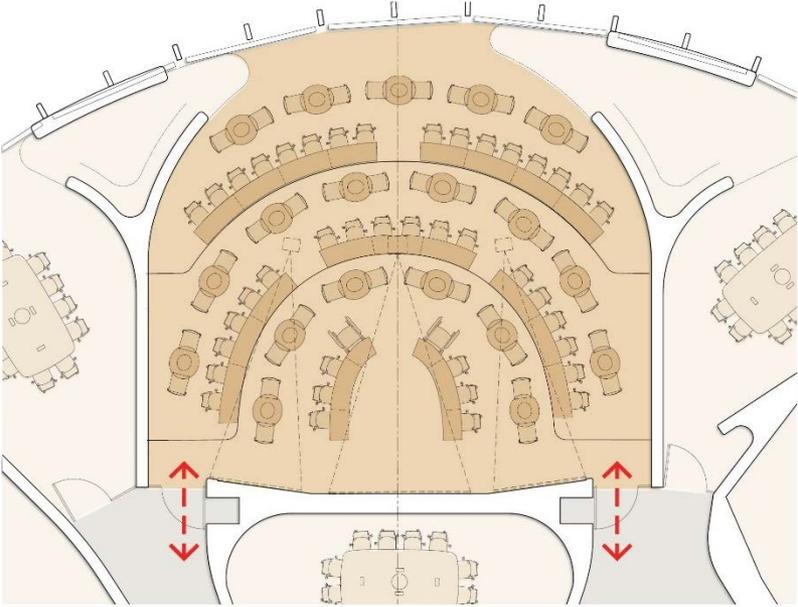


**Radial**  
117 Seats

# CLASSROOM (80)

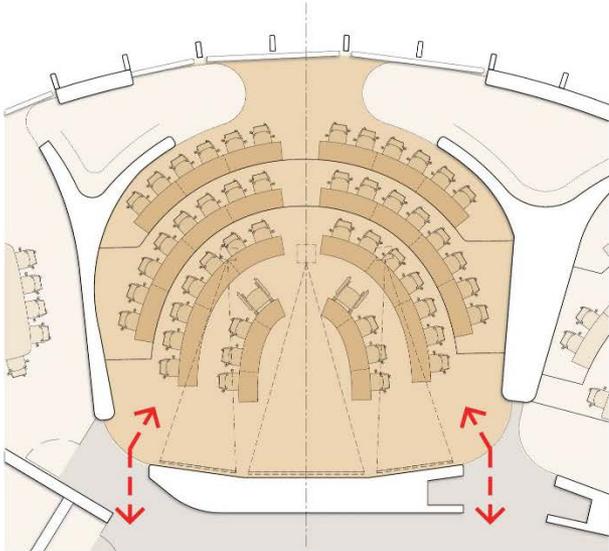


**Case Study**  
80 Seats

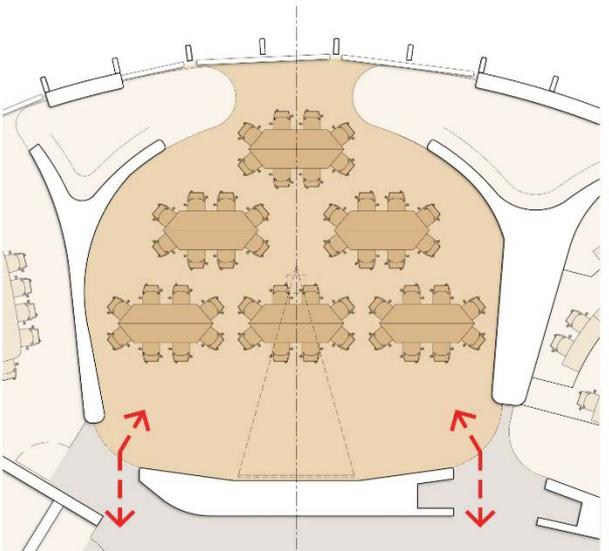


**Tiered Cluster**  
80 Seats

# CLASSROOM (50)

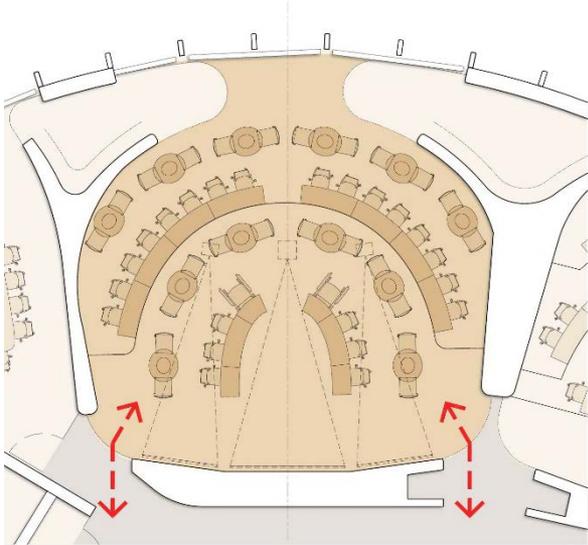


**Case Study**  
50 Seats

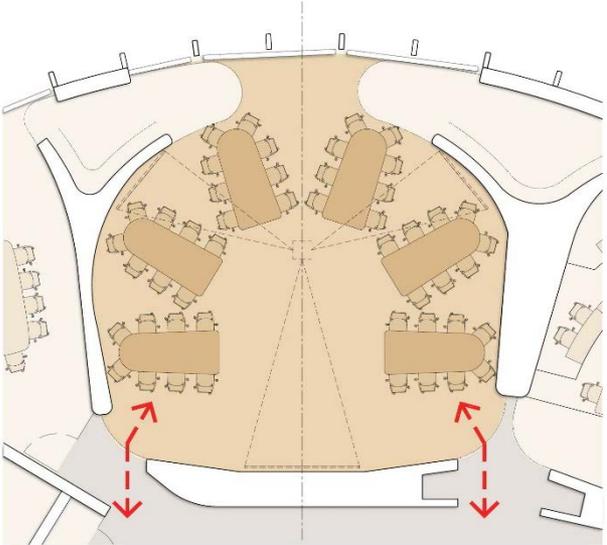


**Flat Floor, Cluster**  
48 Seats

# CLASSROOM (50) (continued)



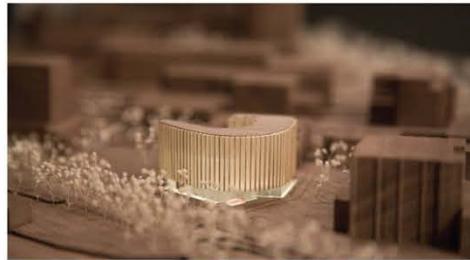
**1 Tiered Cluster**  
48 Seats



**Flat Floor, Lab**  
48 Seats



Exterior Materials

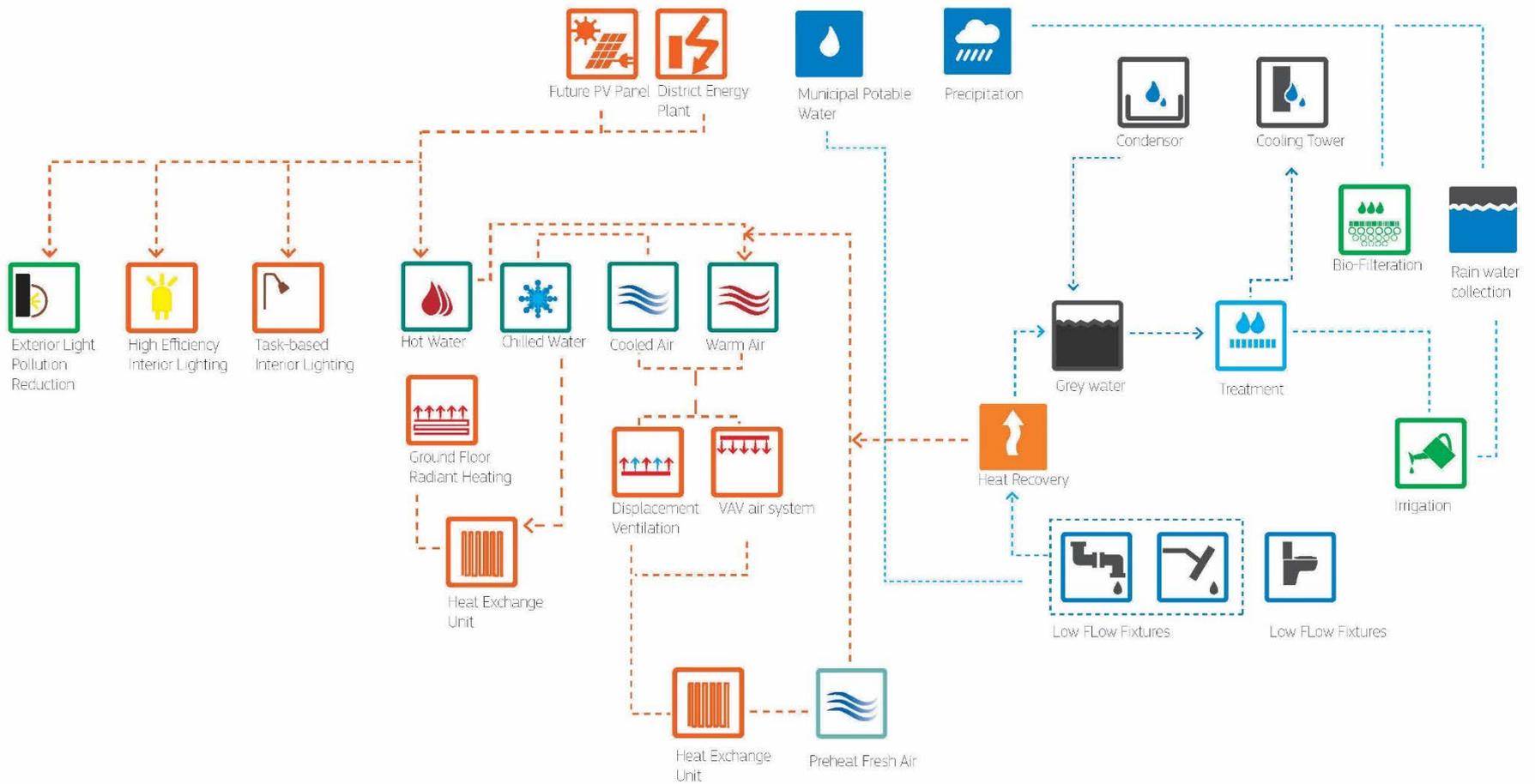






R. +24.8 m  
ROOF  
R. +20.3 m  
Floor 5  
R. +17.3 m  
FLOOR 4  
R. +10.2 m  
FLOOR 3  
R. +7.4 m  
FLOOR 2  
R. +4.2 m  
FLOOR 1  
R. 0.0 m  
GROUND





Sustainability at Carlton



Future Solar Photo-Voltaic System

Direct Sunlight And Solar Heat Gain Mitigated Through External Fins

Natural Ventilation Enhanced By Stack Effect Through The Atrium

Daylighting Enhanced Through Atrium

Light Extensive Green Roof

High Efficiency Water Cooled Chiller With A Variable Frequency Drive

Direct Sunlight And Solar Heat Gain Mitigated Through External Fins

Natural Ventilation Through Operable Windows.

Daylighting Enhancement By Narrow Floor Plate

Low Energy Air Distribution System

Exterior Lighting to Minimize Light Pollution

Displacement Ventilation In The Atrium, Classrooms And Large Lecture Room.  
(25 % Reduction In Ventilation)

Cool Fresh Air Intake Preheated By Heat Extracted From Exhaust And Recovery Units In Winter

Possible Cistern, Green Roof and Other Bio-retention measurements help Stormwater management

Variable Air Volume (Vav) Supply Air Systems With Energy Recovery Wheels In Air Handling Units

Low Temperature Perimeter Radiant Heating System (Heating Source During Unoccupied Times). With Heat Recovery Unit

Rain Water Harvesting





SPROTT  
SCHOOL OF BUSINESS

# **AGENDA ITEM**

## **5.3.2**

**COMMITTEE:** Board of Governors

**MEETING:** December 1, 2016

**ORIGINATOR:** Vice-President (Finance and Administration)

**ITEM:** Student Commons Building Addition – Design Concept Approval

**I. MATERIAL ATTACHED**

- Capital Project Approval and Control Document – Student Commons Building Addition
- Design Concept Presentation

**II. DECISIONS REQUIRED**

- To approve the Design Concept for the Student Commons Building Addition

**III. BACKGROUND**

The new Student Commons Building will refresh, augment and introduce student life and student services amenities to expand and enhance those currently found in the existing University Centre Building.

The major occupants of the Student Commons will be the Carleton University Student Association (CUSA), the Graduate Student Association (GSA) and a variety of University services focusing on student wellness, learner success and student life, many of them attached to the Office of the Vice-President Students and Enrolment (OVPSE).

It is expected that all services and functions will be arrayed around significant common spaces that positively contribute to campus life and to student campus experience. Thus the proposed Student Commons Building, assuming the “right” location and the “right” combination of functions, has the potential to become a landmark “welcome” and “place-making” building addition to Carleton’s campus.

**IV. ANALYSIS**

A preliminary program was developed around the potential occupants as follows:

Net space and associated project share

|                   |                             |       |   |
|-------------------|-----------------------------|-------|---|
| CUSA              | 20,000 (21,000)             | 42.5% | \$16 million  |
| GSA               | 4,000 (5,200)               | 10.5% | \$4 million   |
| OVPSE             | 2,400                       | 4.8%  | \$2 million   |
| CUSA/GSA Students | 2,400 (split with CUSA/GSA) |       |   |
| Dining            | 10,000                      | 20%   | \$7.6 million   |
| Agora             | 11,000                      | 22%   | \$8.4 million (split between CUSA, GSA, and the University) |
|                   | 50,000 net sq. ft.          |       |   |

Total gross sq. ft. would be 75,000 with a total cost of \$38,000,000

## **About the Budget**

The budget is based on a 75,000 square foot addition on the east face and above the Food Court with associated upgrades to the existing University Centre structure in some areas and is estimated at \$38 million.

## **V. SCHEDULE**

The milestone schedule is as follows:

- Appointment of Design Team – February 2017
- Preliminary Design Approval – May 2017
- Final Design Approval – September 2017
- Tender Construction Package – November 2017
- Award Contract – January 2018
- Construction Start – March 2018
- Substantial Completion/Occupancy – March 2020

## **VI. OPTIONS**

- (i) Approve the recommended Design Concept as presented; or
- (ii) Ask the Design Team to reconsider the Design Concept.

## **VII. RECOMMENDATION**

Approve option (i) above.

## **CAPITAL PROJECT APPROVAL AND CONTROL DOCUMENT**

**I. PROJECT NAME:** Student Commons Addition

**PROJECT NUMBER:**

**CSP NUMBER:**

**II. DESCRIPTION**

**What**

The University plans to build a Student Commons Addition to the University Centre for occupancy in April 2020.

**Where**

The Student Commons Addition will be located on the east side of the existing University Centre Building.

**When**

|                                  |               |
|----------------------------------|---------------|
| Appointment of Architect         | February 2017 |
| Completion of Preliminary Design | May 2017      |
| Construction Start               | March 2018    |
| Substantial Completion           | March 2020    |
| Occupancy                        | April 2020    |

**Why**

The new Student Commons Building will refresh, augment and introduce student life and student services amenities to expand and enhance those currently found in the existing University Centre Building.

The major occupants of the Student Commons will be the Carleton University Student Association (CUSA), the Graduate Student Association (GSA) and a variety of University services focusing on student wellness, learner success and student life, many of them attached to the Office of the Vice-President Students and Enrolment (OVPSE).

It is expected that all services and functions will be arrayed around significant common spaces that positively contribute to campus life and to student campus experience. Thus the proposed Student Commons Building, assuming the “right” location and the “right” combination of functions, has the potential to become a landmark “welcome” and “place-making” building addition to Carleton’s campus.

**Why now**

The Carleton University Student’s Association (CUSA) wants to expand and improve the student support services provided by the Association.

**Why in this way**

The current Campus Master Plan recommends that the University enhance the University Centre as an arrival point for many students and potential students and provide a western edge to the future courtyard.

**III. Cost Estimate**

|                                     | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|-------------------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Construction Cost</b>            | 30,000             |                           |                     |                 |
| <b>Furnishings/Equipment</b>        | 1,000              |                           |                     |                 |
| <b>Site Development/Landscaping</b> |                    |                           |                     |                 |
| <b>Sub-Total Building Cost</b>      | <b>31,000</b>      |                           |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>Fees</b>                         | 3,000              |                           |                     |                 |
| <b>Contingencies</b>                | 2,600              |                           |                     |                 |
| <b>Sub Total</b>                    | <b>36,600</b>      |                           |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>Communications (CCS)</b>         | 400                |                           |                     |                 |
| <b>Financing Costs</b>              |                    |                           |                     |                 |
| <b>HST</b>                          | 1,000              |                           |                     |                 |
|                                     |                    |                           |                     |                 |
| <b>TOTAL</b>                        | <b>38,000</b>      |                           |                     |                 |

**IV. Cost by Fiscal Year**

|                   | <b>2015-2016</b> | <b>2016-2017</b> | <b>2017-2018</b> |
|-------------------|------------------|------------------|------------------|
| <b>Ministry</b>   |                  |                  |                  |
| <b>University</b> | 10,000           | 25,0000          | 10,000           |
| <b>Others</b>     |                  |                  |                  |
| <b>TOTAL</b>      |                  |                  |                  |

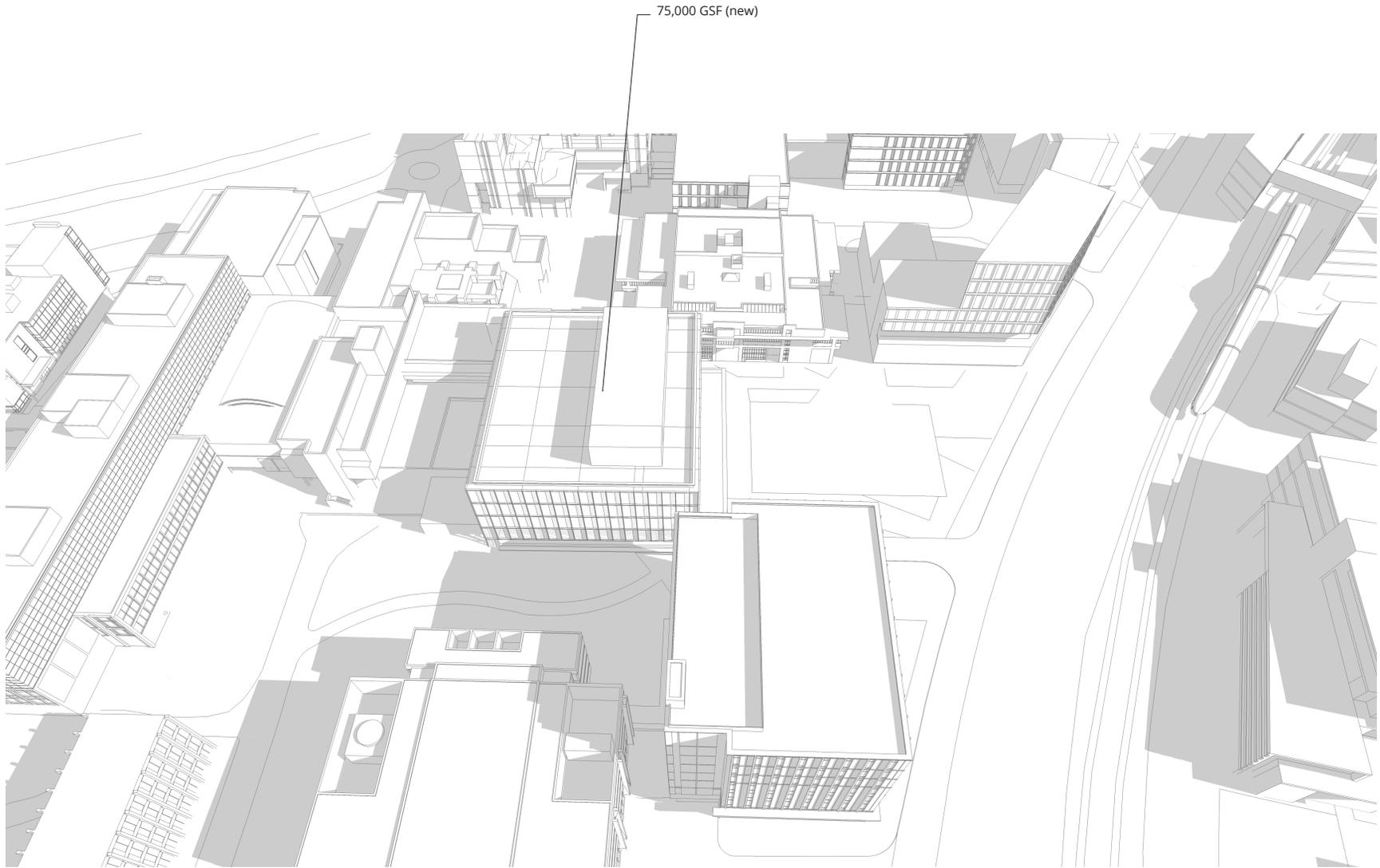
**V. Approvals**

|                           | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|---------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Board of Governors</b> |                    |                           |                     |                 |

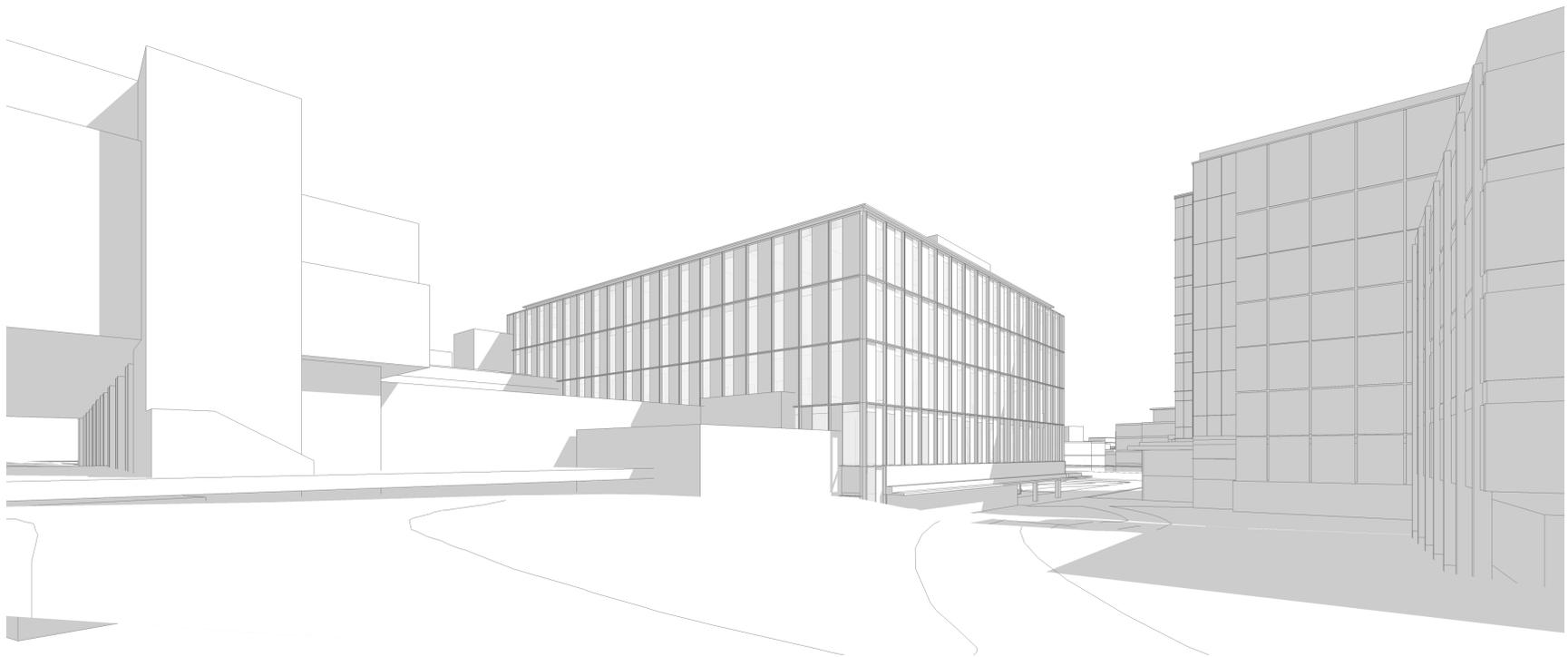
**Carleton University**

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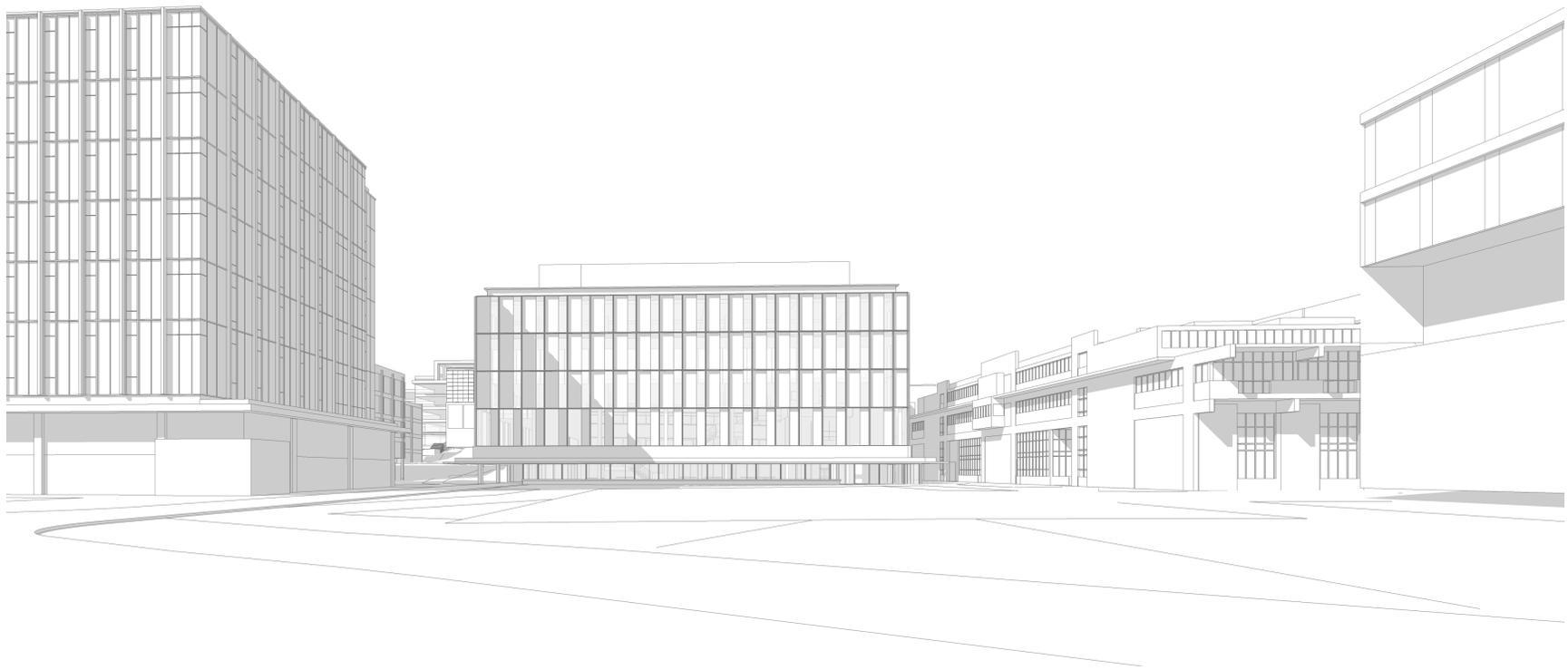
MontgomerySisam



*Aerial view from South*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



*View from South Quad*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



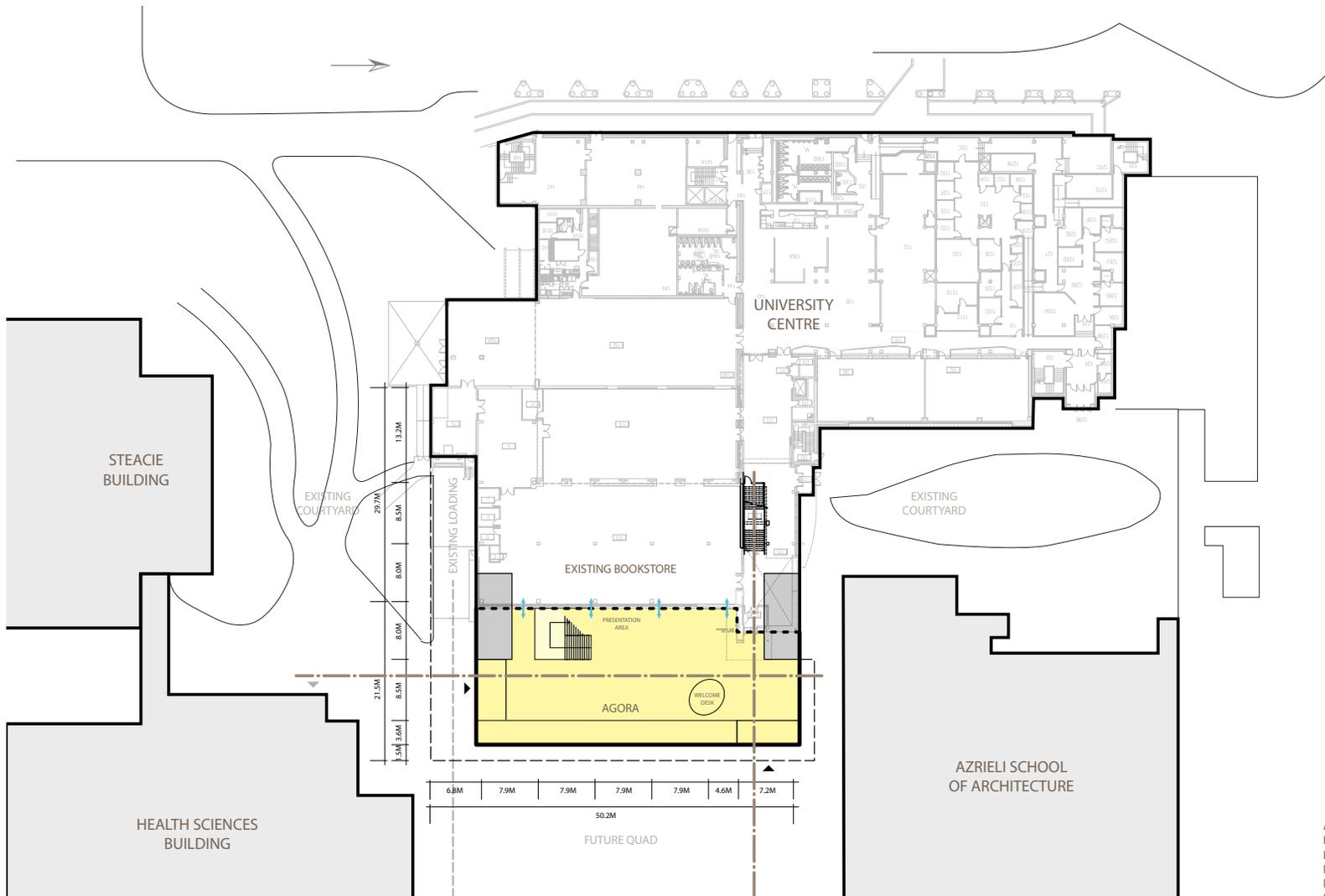
*View from Welcome Quad*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



*View from Welcome Quad*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University

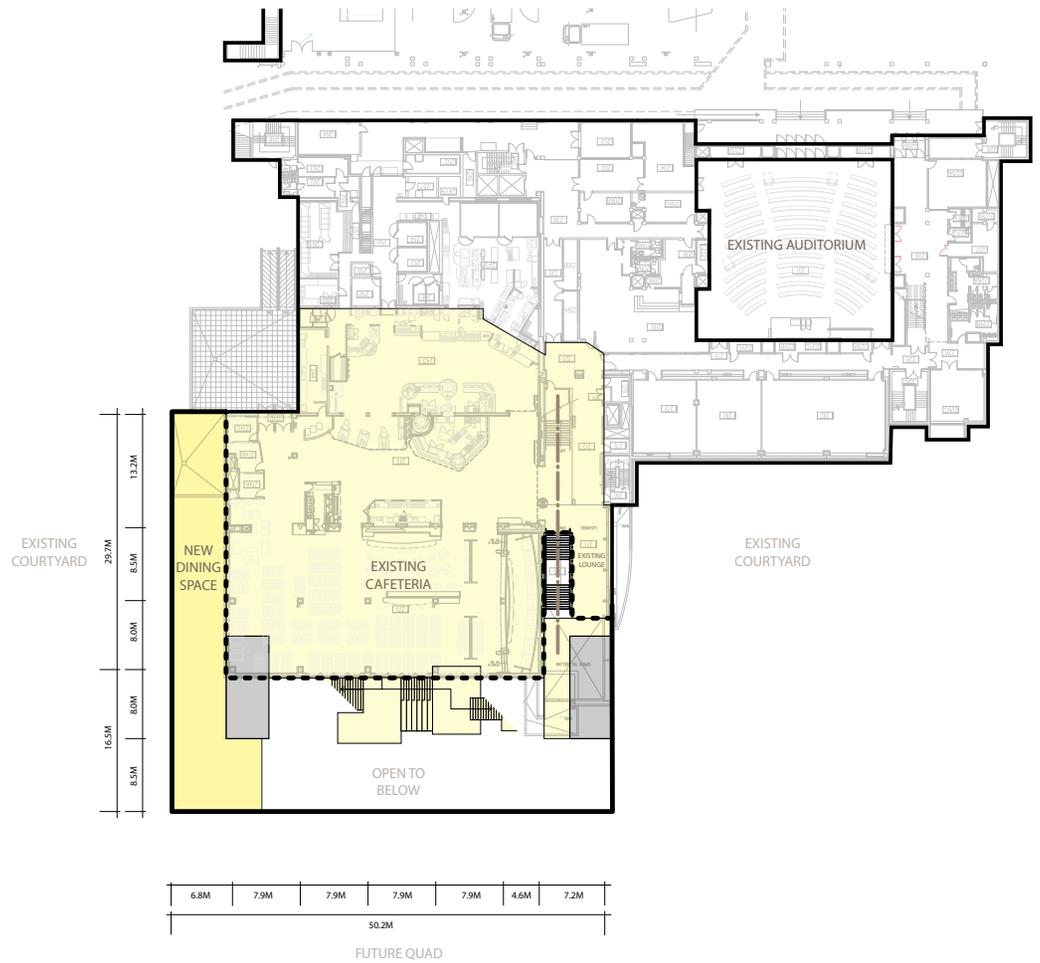


*The Agora*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University

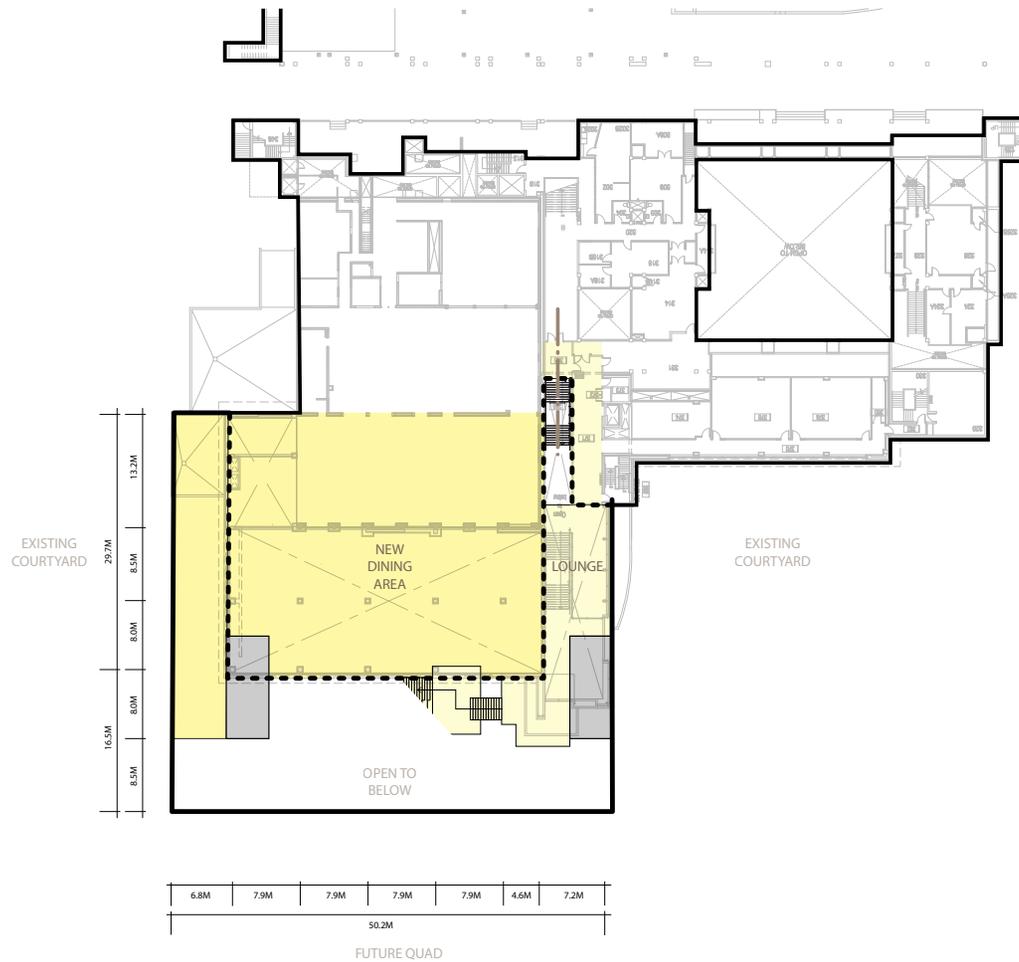


| ADDITIONAL GFA | NEW                 | RENOVATED         |
|----------------|---------------------|-------------------|
| LEVEL 1        | 1,000m <sup>2</sup> |                   |
| LEVEL 2        | 450m <sup>2</sup>   |                   |
| LEVEL 3        | 1,350m <sup>2</sup> | 315m <sup>2</sup> |
| LEVEL 4        | 1,850m <sup>2</sup> |                   |
| LEVEL 5        | 2,100m <sup>2</sup> |                   |

**Floor Plan - Level 1**  
**NEW STUDENT COMMONS BUILDING**  
 Carleton University

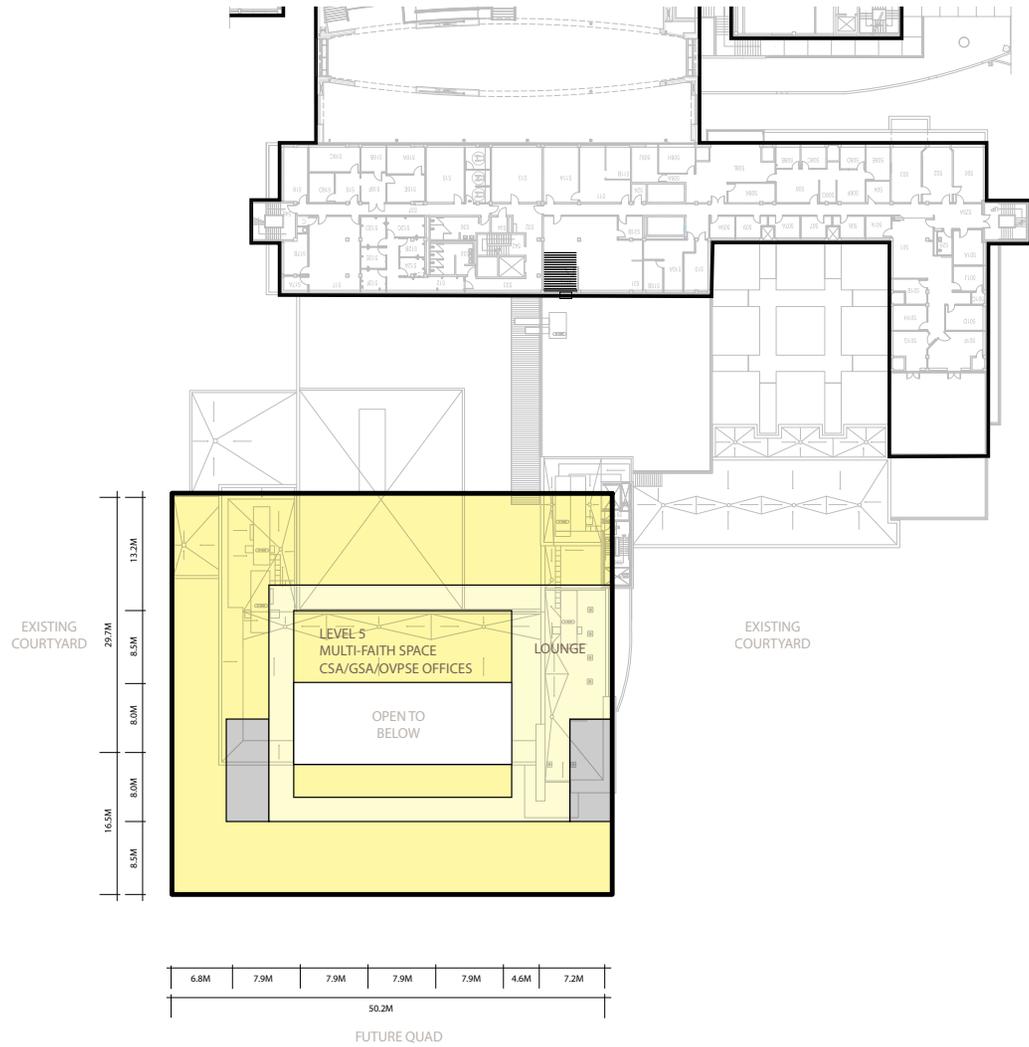


*Floor Plan - Level 2*  
**NEW STUDENT COMMONS BUILDING**  
 Carleton University



*Floor Plan - Level 3*  
**NEW STUDENT COMMONS BUILDING**  
 Carleton University

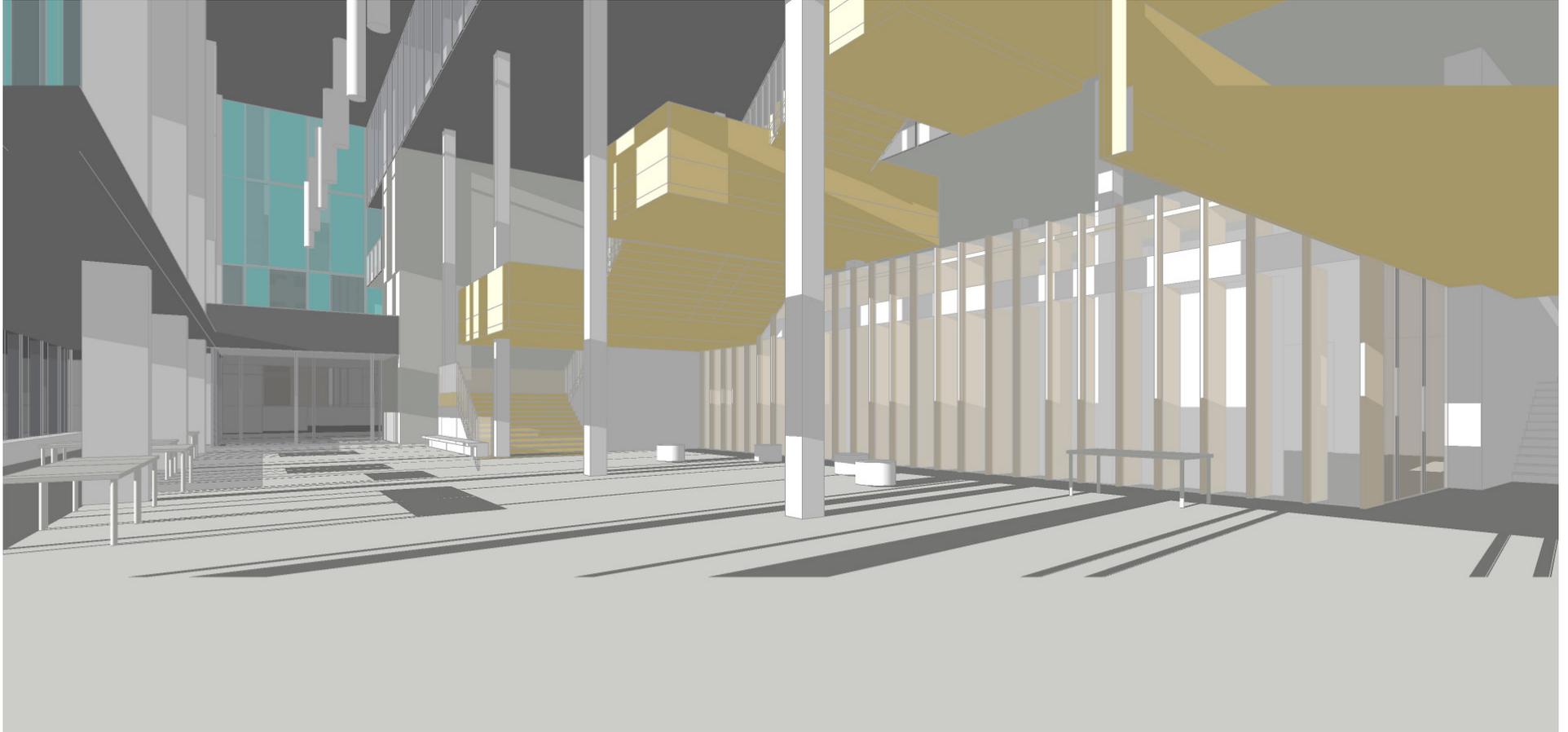




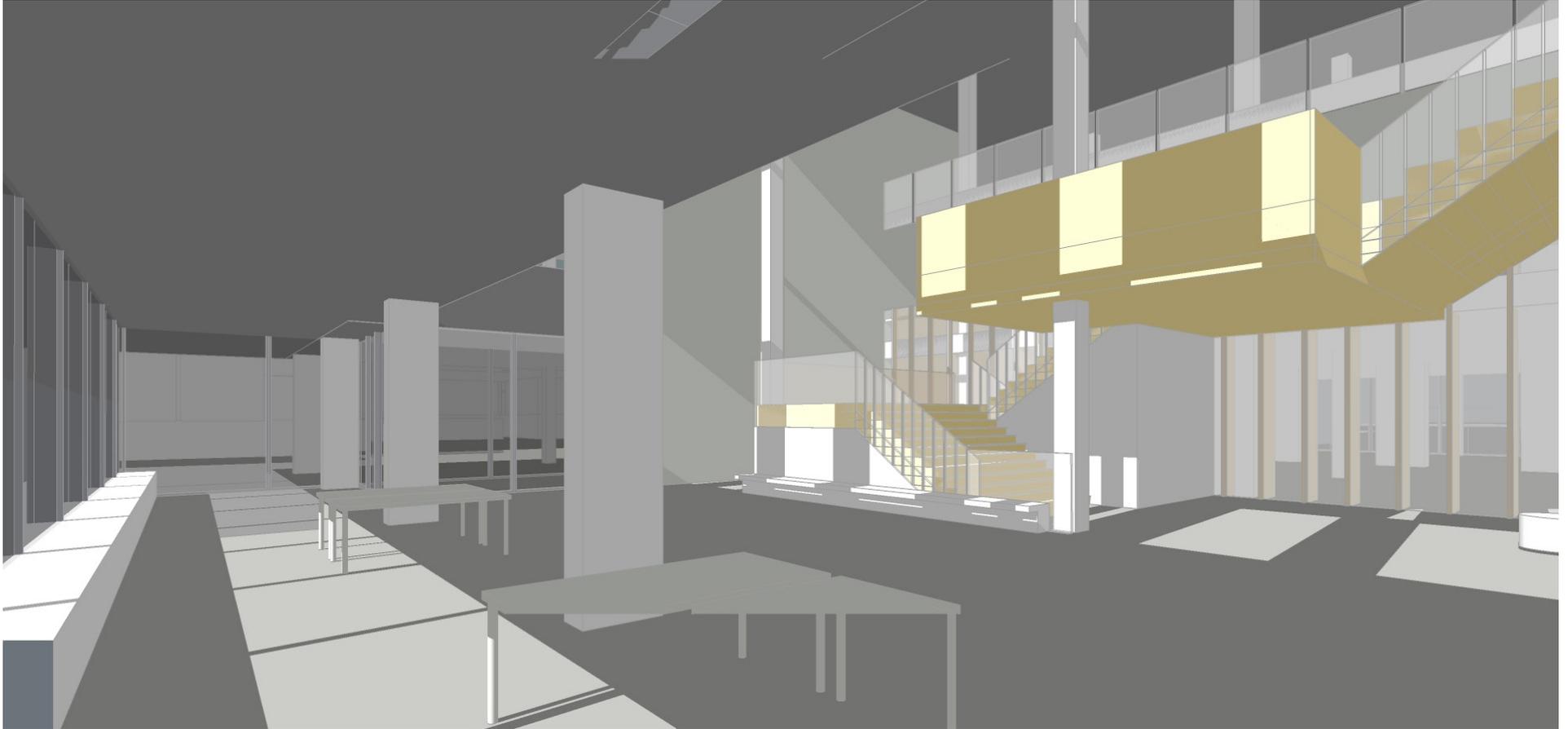
*Floor Plan - Level 5*  
**NEW STUDENT COMMONS BUILDING**  
 Carleton University



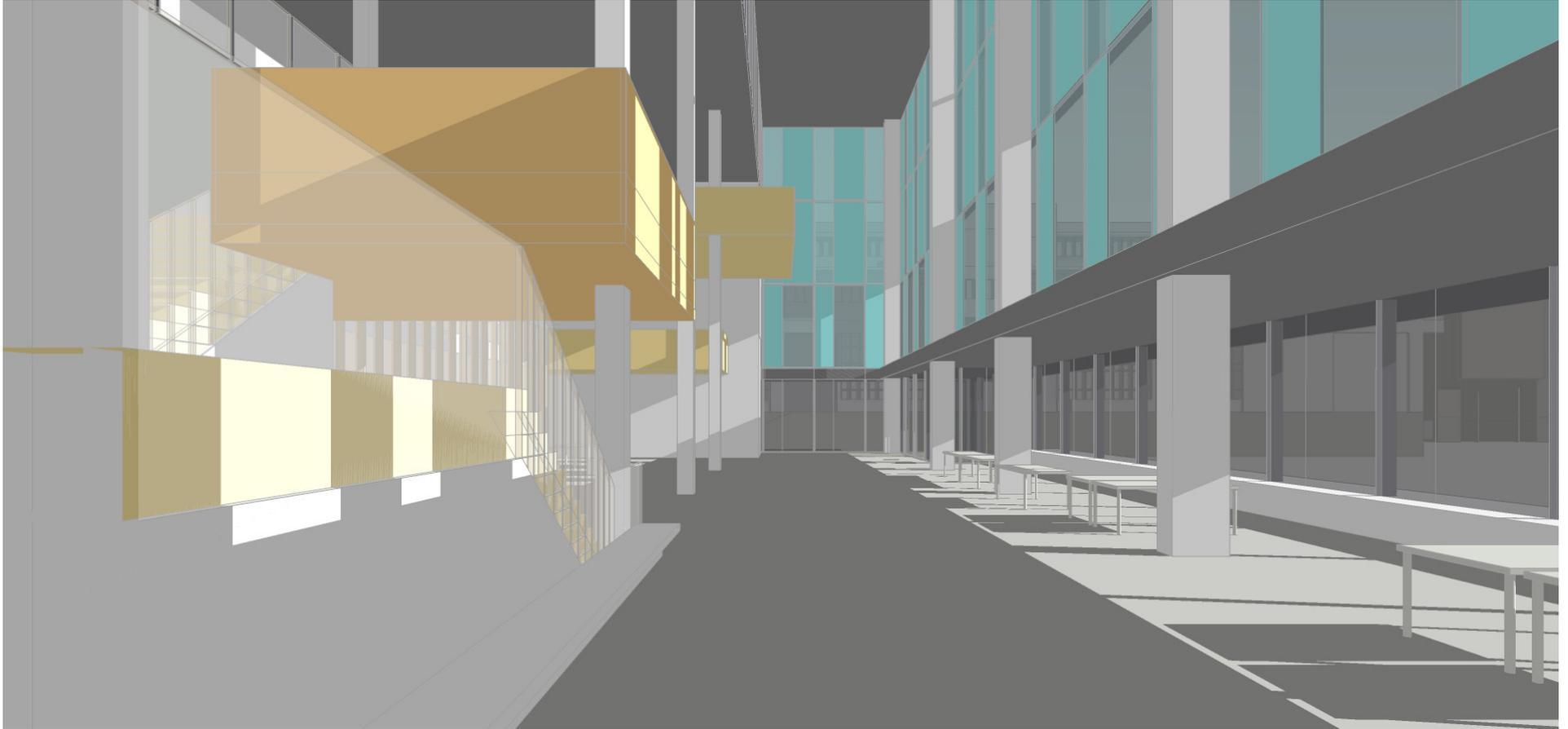
*Entrance*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



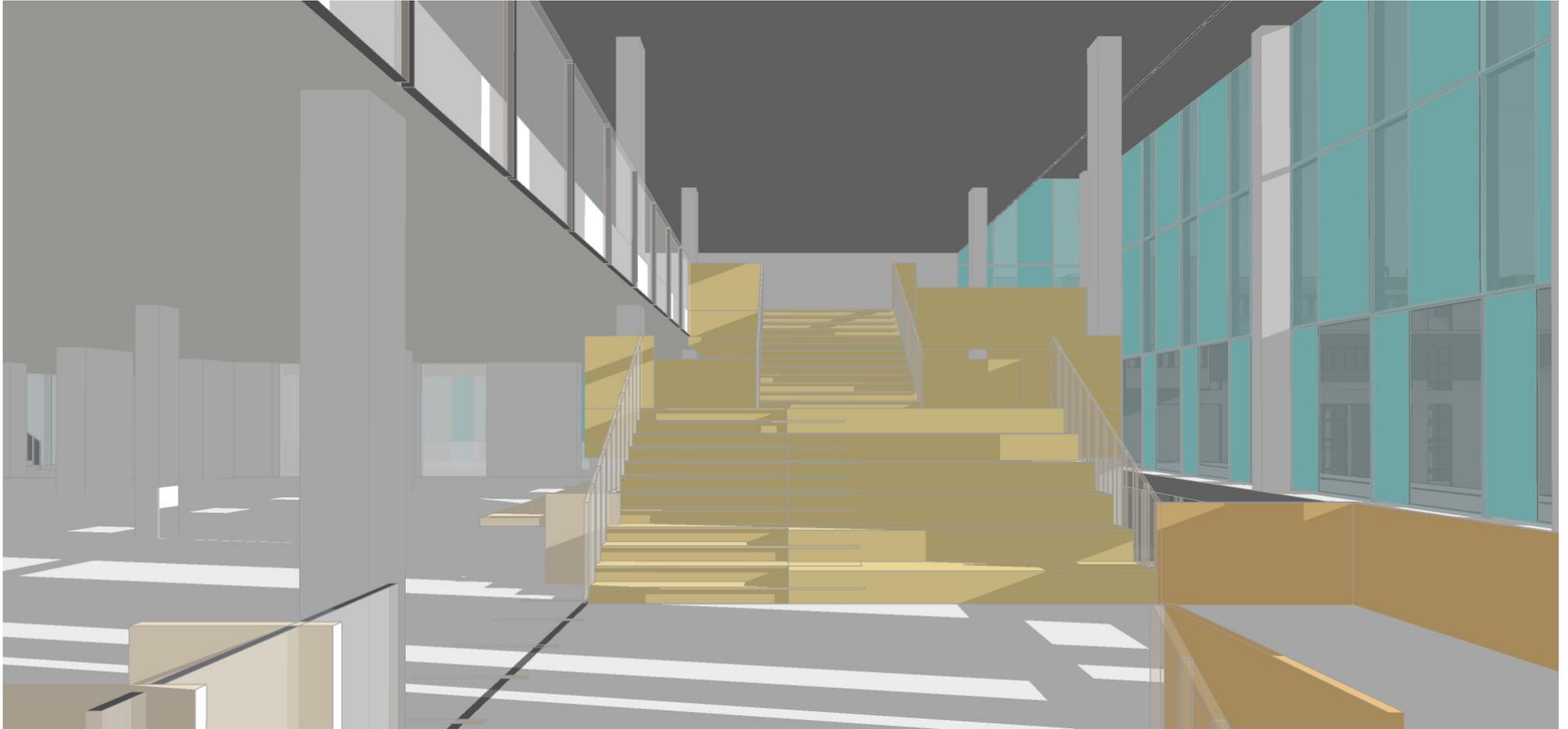
*Agora*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



*Agora Porch*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



*Agora*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University



*Dining Terrace*  
**NEW STUDENT COMMONS BUILDING**  
Carleton University

# **AGENDA ITEM**

## **5.3.3**

**COMMITTEE:** Building Program Committee

**MEETING:** November 9, 2016

**ORIGINATOR:** Vice-President (Finance and Administration)

**ITEM:** Carleton University Institute for Advanced Research and Innovation in Smart Environments (ARISE) Facility Formerly known as (Life Sciences Building Renewal and Addition) – Final Design Approval

### **I. MATERIAL ATTACHED**

- Capital Project Approval and Control document
- Final Design Presentation

### **II. DECISIONS REQUIRED**

- To approve the final design for the Carleton University Institute for Advanced Research and Innovation in Smart Environments (ARISE) Building

### **III. BACKGROUND**

At a previous meeting of the Executive Committee approval was received as follows:

- To approve the appointment of the design team for the Life Sciences Building Renewal and Addition project.

Under the Post-Secondary Institutions Strategic Investment Fund Priorities, this project will address two key priority areas. Firstly, converting under-utilized space into new research labs that advance excellence in a specialized field of strength, and secondly, by supporting prototype development or proof-of-principle assessment in order to better serve the needs of industry partners. While the construction and development of the facility addresses the program priority to stimulate immediate economic development, the specific targets of the research, development and demonstration projects to be conducted will also focus on other key government budget priorities such as clean technology, a healthy fresh water system, advancing the effectiveness of business accelerators and incubators, and creating a network of excellence in conjunction with industry partners. By designing the facility with industry collaboration in mind, we seek to provide a positive impact on Canada's business innovation challenge as articulated in ISED's "Seizing Canada's Moment: Moving Forward in Science, Technology and Innovation 2014".

The ARISE project will consist of: 1) the demolition of most of the Life Sciences Research Building except the main structural components - floors, retaining walls, bearing walls, columns and roof structure, followed by 2) the addition of two new storeys on top of the existing building, new exit stairs, elevators, washrooms, mechanical and electrical systems, windows, cladding and finishes throughout. The new structure will span the entire width of the existing building in order to avoid costly and time consuming work within the existing structural footprint. In addition new seismic upgrades will be added to the existing structure to comply with the Ontario Building Code. The entire new structural frame will be clad

in a combination of window and exterior wall cladding (metal panel and brick) making the building energy efficient and easy to maintain.

The purpose of the building will be to accommodate the uses of: Health Technologies, Information and Communications Technologies, Knowledge Integration, and Clean Technologies.

The façade treatment is predicated on the following 5 principles: 1) the context of the buildings currently facing the Rideau River, 2) the buildings unique relationship to the Rideau River, 3) the new presence and entrance on the North Service Road, 4) the anticipated 30 year life span of the building as articulated in the Master Plan and 5) the constricted timeline for construction to meet the April 2018 date of Substantial Completion as dictated by the terms of the S.I.F. funding.

Based on these principles the primary image for the building is a silvery/white enclosure that will reflect well some of the best elements of the River Building as well as complement the snow and ice build-up on the Rideau River for much of the school year. To accomplish this a high percentage of glass will have a fritted screening to add to the white perception of the glass with the added benefit of shielding against unwanted heat gain. The metal wall panel system will have similar reflective and tonal qualities that will contribute to the same effect. This panel system is also light in weight (to not add to the structural design), quick to install, appropriate to the projected 30 year life span and cost effective.

#### **IV. ANALYSIS**

By renovating ~23,000 square feet of the existing Life Sciences Research Building (LSRB) and adding a further ~34,500 square feet, the project will enable growth in research, innovation and training in areas identified as strategic for Carleton, Ontario and Canada. It will focus on applied research in pursuit of technological innovation and commercialization in the fields of Clean Technology, Health Technology and Information and Communication Technology. Researchers from Science, Engineering and Design, Business and Public Affairs will collaborate and train students to conduct world-class research in smart environments that are embedded seamlessly with sensors, intelligent systems and computers and connected through continuous communication networks to support intelligent living, environmental and energy conservation and networked societies. Further, the building programming includes a Knowledge Integration space to incubate start-ups and facilitate interactions with SMEs as well as MNEs. Research projects will grow and contract dynamically as necessary within ARISE while allowing for graduation to regional accelerators. The collaborative research and training environment of ARISE supported by industry will enable students to gain marketable skills and become entrepreneurial. Overall, it will facilitate industry-driven research, fuel start-ups and contribute to economic growth.

#### **V. PROJECT FUNDING**

The budget to implement this project is \$29,518,000. The SIF Program will provide \$13,450,860 and the University will need to fund the remaining \$16,067,132.

#### **VI. OPTIONS**

- (i) Approve the recommended final design as presented; or
- (ii) Ask the Design Team to reconsider the Final Design.

#### **VII. RECOMMENDATION**

Approve Option (i) above.

# **CAPITAL PROJECT APPROVAL AND CONTROL DOCUMENT**

**I. PROJECT NAME:** Carleton University Institute for Advanced Research and Innovation in Smart Environments (ARISE) Building formerly known as (Life Sciences Building Renewal and Addition)

**PROJECT NUMBER:**

**CSP NUMBER:**

## **II. DESCRIPTION**

### **What**

The University plans to build the ARISE Building for occupancy in the summer of 2018.

### **Where**

The ARISE Building will be constructed on the site of the existing Life Sciences building through the renewal of the existing space as well as the addition of two new floors.

### **When**

|                            |               |
|----------------------------|---------------|
| Appointment of Architect   | June 2016     |
| Completion of Final Design | November 2016 |
| Construction Start         | March 2017    |
| Substantial Completion     | April 2018    |
| Occupancy                  | July 2018     |

### **Why**

By renovating ~23,000 square feet of the existing Life Sciences Research Building (LSRB) and adding a further ~34,500 square feet, the project will enable growth in research, innovation and training in areas identified as strategic for Carleton, Ontario and Canada. It will focus on applied research in pursuit of technological innovation and commercialization in the fields of Clean Technology, Health Technology and Information and Communication Technology. Researchers from Science, Engineering and Design, Business and Public Affairs will collaborate and train students to conduct world-class research in smart environments that are embedded seamlessly with sensors, intelligent systems and computers and connected through continuous communication networks to support intelligent living, environmental and energy conservation and networked societies. Further, the building programming includes a Knowledge Integration space to incubate start-ups and facilitate interactions with SMEs as well as MNEs. Research projects will grow and contract dynamically as necessary within ARISE while allowing for graduation to regional accelerators. The collaborative research and training environment of ARISE supported by industry will enable students to gain marketable skills and become entrepreneurial. Overall, it will facilitate industry-driven research, fuel start-ups and contribute to economic growth.

### **Why now**

Under the Post-Secondary Institutions Strategic Investment Fund Priorities, this project will address two key priority areas. Firstly, converting under-utilized space into new research labs that advance excellence in a specialized field of strength, and secondly, by supporting prototype development or proof-of-principle assessment in order to better serve the needs of industry partners. While the construction and development of the facility addresses the program priority to stimulate immediate economic development, the specific targets of the research, development and

demonstration projects to be conducted will also focus on other key government budget priorities such as clean technology, a healthy fresh water system, advancing the effectiveness of business accelerators and incubators, and creating a network of excellence in conjunction with industry partners. By designing the facility with industry collaboration in mind, we seek to provide a positive impact on Canada's business innovation challenge as articulated in ISED's "Seizing Canada's Moment: Moving Forward in Science, Technology and Innovation 2014".

**Why in this way**

The project will enhance the campus by modernizing the existing building which will no longer serve as an animal facility and the related wet labs which will be moving to the new Health Science Building in 2017.

**III. Cost Estimate**

|                                     | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|-------------------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Construction Cost</b>            | 21,224             |                           | 21,224              |                 |
| <b>Furnishings/Equipment</b>        | 1,250              |                           | 1,250               |                 |
| <b>Site Development/Landscaping</b> |                    |                           |                     |                 |
| <b>Sub-Total Building Cost</b>      | <b>22,474</b>      |                           | <b>22,474</b>       |                 |
|                                     |                    |                           |                     |                 |
| <b>Fees</b>                         | 3,137              |                           | 3,137               |                 |
| <b>Contingencies</b>                | 2,500              |                           | 2,500               |                 |
| <b>Sub Total</b>                    | <b>28,111</b>      |                           | <b>28,111</b>       |                 |
|                                     |                    |                           |                     |                 |
| <b>Communications (CCS)</b>         | 416                |                           | 416                 |                 |
| <b>Financing Costs</b>              |                    |                           |                     |                 |
| <b>HST</b>                          | 973                |                           | 973                 |                 |
|                                     |                    |                           |                     |                 |
| <b>TOTAL</b>                        | <b>29,500</b>      |                           | <b>29,500</b>       |                 |

**IV. Cost by Fiscal Year**

|                   | <b>2016-2017</b> | <b>2017-2018</b> | <b>2018-2019</b> |
|-------------------|------------------|------------------|------------------|
| <b>Ministry</b>   |                  |                  |                  |
| <b>University</b> | 1,632            | 13,600           | 816              |
| <b>Others</b>     | <b>1,368</b>     | <b>11,400</b>    | <b>684</b>       |
| <b>TOTAL</b>      |                  |                  |                  |

**V. Approvals**

|                           | <b>Needs Study</b> | <b>Preliminary Design</b> | <b>Final Design</b> | <b>Contract</b> |
|---------------------------|--------------------|---------------------------|---------------------|-----------------|
| <b>Board of Governors</b> | June 2016          |                           |                     |                 |



**Carleton**  
UNIVERSITY

**Canada's Capital University**

## **The 148<sup>th</sup> Meeting of the Building Program Committee**

**Friday, November 25<sup>th</sup>, 2016 at 4:00 p.m.  
Room 617, Robertson Hall**

### **AGENDA**

- 1. CALL TO ORDER AND CHAIRMAN'S REMARKS**
- 2. DECLARATION OF CONFLICT OF INTEREST**
- 3. APPROVAL OF AGENDA**
- 4. ITEMS FOR APPROVAL**
  - 4.1 ARISE Building Final Design
- 5. OTHER BUSINESS**
- 6. ADJOURNMENT**

# **AGENDA ITEM**

**5.4**

|                    |   |
|--------------------|---|
| <b>COMMITTEE:</b>  | <b>Board of Governors</b>   |
| <b>MEETING:</b>    | <b>December 1, 2016</b>   |
| <b>ORIGINATOR:</b> | <b>Vice-President (Finance and Administration)</b>                                    |
| <b>ITEM:</b>       | <b>Sprott School of Business Building – Approval to Proceed with Tender Documents</b> |

## **I. MATERIAL ATTACHED**

- Capital Project Approval and Control Document

## **II. DECISIONS REQUIRED**

- To approve the funding for the development of tender-ready design and documentation at a cost not to exceed \$2.2 million.

## **III. BACKGROUND**

At a previous meeting of the Finance Committee, approval was received as follows:

- To approve the expenditure of \$2.2 million for the early design of the new Business School Building

The construction of a Business School Building is our highest major capital priority and was given significant impetus by the donation of \$10 million by Wes Nicol in 2014. We have also allocated \$11.9 million towards the project in 2015- 2016 and 2016-2017 operating budgets.

It has been determined that the School of Business Building is not eligible for Federal Infrastructure funding.

The Board of Governors in March 2016 approved \$2.2 million for the early design of the new Business School Building and directed that the contract provide options for early termination of the design process.

The enrolment in the Business School first year undergraduate programs has been essentially flat since 2010 (511 FTE) to 2015 (508 FTE). Confirmation for undergraduate enrolment in Fall 2016 are currently 10% higher than this time last year. Graduate enrolment has increased from 51 FTE in 2010 to 88 FTE 2015 with most of the growth from the addition of a Masters of Accounting Program.

The Sprott School of Business submitted a plan in December 2015 for a 30% increase in enrolment by 2020 – 2021. It will be necessary for the Sprott School of Business to demonstrate progress towards achieving this growth before the University would award a contract for constructing the building.

The Consultant Agreement has been structured such that the design process could be suspended or terminated at the Schematic Design Stage, with an estimated cost of \$400,000, or at the end of Design Development (approximately 50% design documentation) for an additional \$600,000.

#### **IV. ANALYSIS**

The School of Business Building will be approximately 100,000 square feet gross and include the following: public assembly space, electronic and interactive classrooms, student resource room, office space, space for entrepreneurial programming and some shell space for future program growth in the project budget of \$48 million. The School of Business Building could be completed and ready for occupancy in the summer 2020. The School of Business Building will be located on parking lot 2 next to the Architecture Building.

#### **V. ABOUT THE DESIGN**

**the Attractor: A great business school attracts and retains the very best students and faculty.**

The site, and its relationship to the wider campus, acts as a natural point of attraction. The building will become a fulcrum of energy resting on the intersection of east and west; the convergence of three branches of the tunnel system; adjacency to Campus Avenue, and close proximity to a busy drop-off area. Our design will not only establish an exceptional building to enhance the goal of the Spratt but will act as a node for the greater Carleton community encouraging flow through, and interaction with the building.

**the Collector: A great business school is about building community, bridging connections, fostering exchange – and the establishment of lifelong relationships.**

The arc of the curves will gently gather and funnel energy towards the centralized heart – the forum – the jewel within. The very core of the building, designed to ignite sparks of excitement, encourage collaboration, facilitate learning and set the stage for the Spratt School of Business and Carleton. We have programmed the first floor with facilities to impress and instill confidence in the integrity of the institution; the Forum as the pinnacle radiating out to reveal the world-class Research Centre, Resource Centre, and Innovation Accelerator. The first floor opens dramatically upwards to the second and third levels, which arc around a sky-lit three storey opening – firmly engaging the community of classrooms.

**the Embrace: It should be self-evident that Spratt expresses itself as a coherent whole – creating engagement around a dynamic centre, and addressing the campus eloquently on all sides.**

Our curved design will sit on the site, proud and distinctive, amongst the rectangular geometry of the existing buildings – the gentle arc encircling the contents within. Through the careful selection of cladding materials we will ensure cohesion by embracing and echoing the concrete and brick façades of the traditional campus buildings and the vast expanses of glazing on the newer structures.

At the heart of this approach lies the insight that design for collaboration is fundamental to Spratt's pedagogy.

#### **Program**

The Lower Level celebrates the entrance to, and connection with, the tunnel system and, by extension, the wider campus. At the intersection of the underground paths, a skylight and stair opens to light from above to demarcate the location of the business school. This level houses the Trading Lab, Active Learning lab, and student lockers. The remainder of the footprint houses the mechanical, electrical, and water infrastructures of the building.

The Ground Floor organizes dynamic communal programs around the main lobby event space, the 'Collector', feeding it with energy and life. This dynamic three-storey, core is accentuated with a feature stair, linking the Ground Floor to the teaching areas on the Second and Third Floors. The two main entrances are flanked by the food services/café, Innovation Accelerator and Research Centre. The programs are supported by Building Operations, Loading, Storage, and AV Support.

The second and third Floors are programmed as two-storeys of teaching space wrapped around the core; house the main instructional spaces, including two 120 seat classrooms, two 80 seat classrooms, four 50 seat classrooms, six breakout rooms, and two seminar rooms. The 200 seat Lecture Theatre is located on third floor, sloping slightly with accessible ramp and is taking advantage of the long southward views with its expansive glass-louvered wall. The undergraduate program, business career centre spaces, and MBA open concept offices occupy the rest of these two floors.

The 4<sup>th</sup> Floor the core of the building is hollowed out, creating an arc of programming around an open green space. This allows for outdoor study and social areas overlooking the proposed Entry Quad and River. Graduate and professional programs, student work stations, computer lounges and staff offices are housed within this floor.

The fifth floor is shelled space for future programming and development.

The sixth floor is reserved for the Dean's Suite and staff offices. Capping the south-east corner of the building is an executive look-out lounge that capitalizes on the long-views.

## **VI. PROJECT FUNDING**

The cost to prepare construction documents that would allow the project to proceed to tender is \$2.2 million. These funds will come from the \$10 million donation provided by Wes Nicol.

The funding for this project will be \$10 million from the donation by Wes Nicol, \$11.9 million from the 2015-2016 and 2016.2017 operating budgets and \$26.1 million from the capital reserves. As reported to the Finance Committee in the 2015-2016 Financial Report to the Board of Governors, capital reserves of \$12.0 million were being held as of April 30, 2016.

## **VII. OPTIONS**

- (i) Approve the recommended to proceed with final design and tender-ready documentation; or
- (ii) Place the project on hold.

## **VIII. RECOMMENDATION**

Approve Option (i) above.

# **AGENDA ITEM**

## **5.5**

**CONSENT TO ACT AS A GOVERNOR**

TO: Carleton University  
(the “**University**”)

AND TO: The Governors and Members of the University

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By signing this consent form, I hereby:

1. Consent to act as a Governor of the University, which continues until revoked in writing.
2. Confirm that I am qualified to become a Governor pursuant to section 4.03 of By-law of the University, (the “**By-laws**”), and agree to advise the University immediately upon no longer meeting the criteria.
3. Agree that I will be deemed to have immediately resigned in any of the following circumstances:
  - (a) if I cease to be a Member as described in section 2.03 of the By-laws;
  - (b) if I no longer meet the eligibility criteria for Governors in section 4.03 of the By-laws;
  - (c) if I no longer hold an *ex officio* position;
  - (d) if I fail to sign the Code of Conduct annually; and
  - (e) if I fail to attend three (3) consecutive meetings of the Board, unless the Board passes a resolution permitting me to remain in office as a Governor notwithstanding such absences.
4. Consent to the participation by any Governor in all meetings of the Board and Committees by means of a telephone, electronic or other communication facility, that permits each of the participating Governors to communicate adequately with each other during the meeting.
5. Consent to receive documents and communications from the University from time to time at the following email address: \_\_\_\_\_.
6. Consent to the use of my photograph on Carleton University’s website, publications, marketing and other collateral material.
7. Agree to abide by the By-laws, policies, rules and regulations of the University, as amended from time to time.

SIGNED this \_\_\_\_ day of \_\_\_\_\_, 201\_\_.



# **AGENDA ITEM**

## **6.1**

# Student Enrolment Statistics and Carleton University

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SUZANNE BLANCHARD, VICE-PRESIDENT (STUDENTS AND ENROLMENT)

CARLETON UNIVERSITY BOARD OF GOVERNORS, DECEMBER 1, 2016

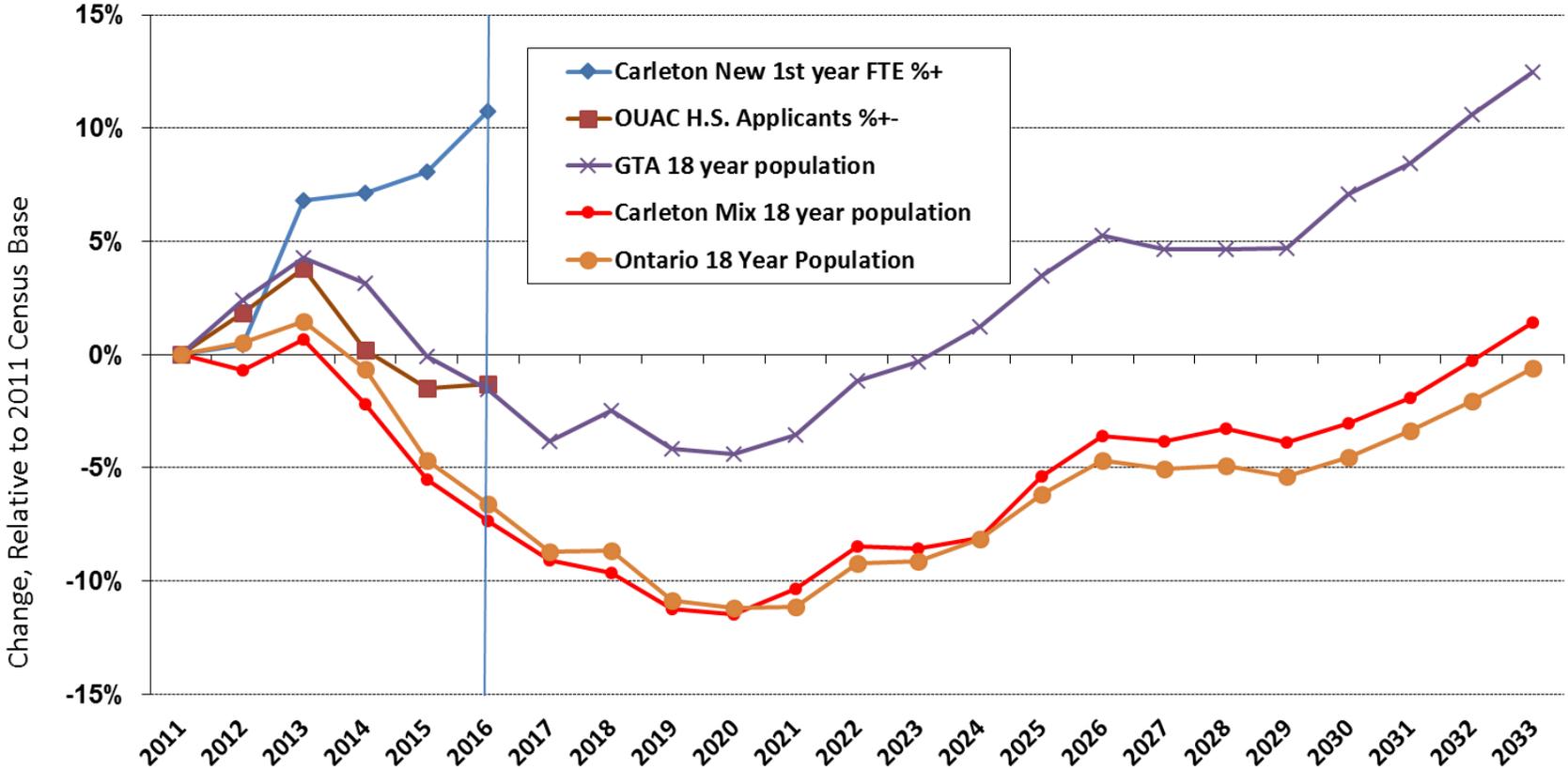
# 2016-2017 Budget/Actual

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|  | Fall 2015 Actual | Fall 2016 Assumption (April) | Fall 2016 Estimate (November) | +-% Fall 2015/2016 |
|--|------------------|------------------------------|-------------------------------|--------------------|
| Fall first-year, full-time students        | 6,305            | 6,234                        | 6,400                         | +1.5%              |
| Fall first-year, full-time students (New)  | 5,254            | 5,202                        | 5,358                         | +2.0%              |
| Fall full-time UG (degree programs)        | 20,168           | 20,228                       | 20,558                        | +1.9%              |
| Fall FT international UG (degree programs) | 2,220            | 2,300                        | 2,317                         | +4.4%              |

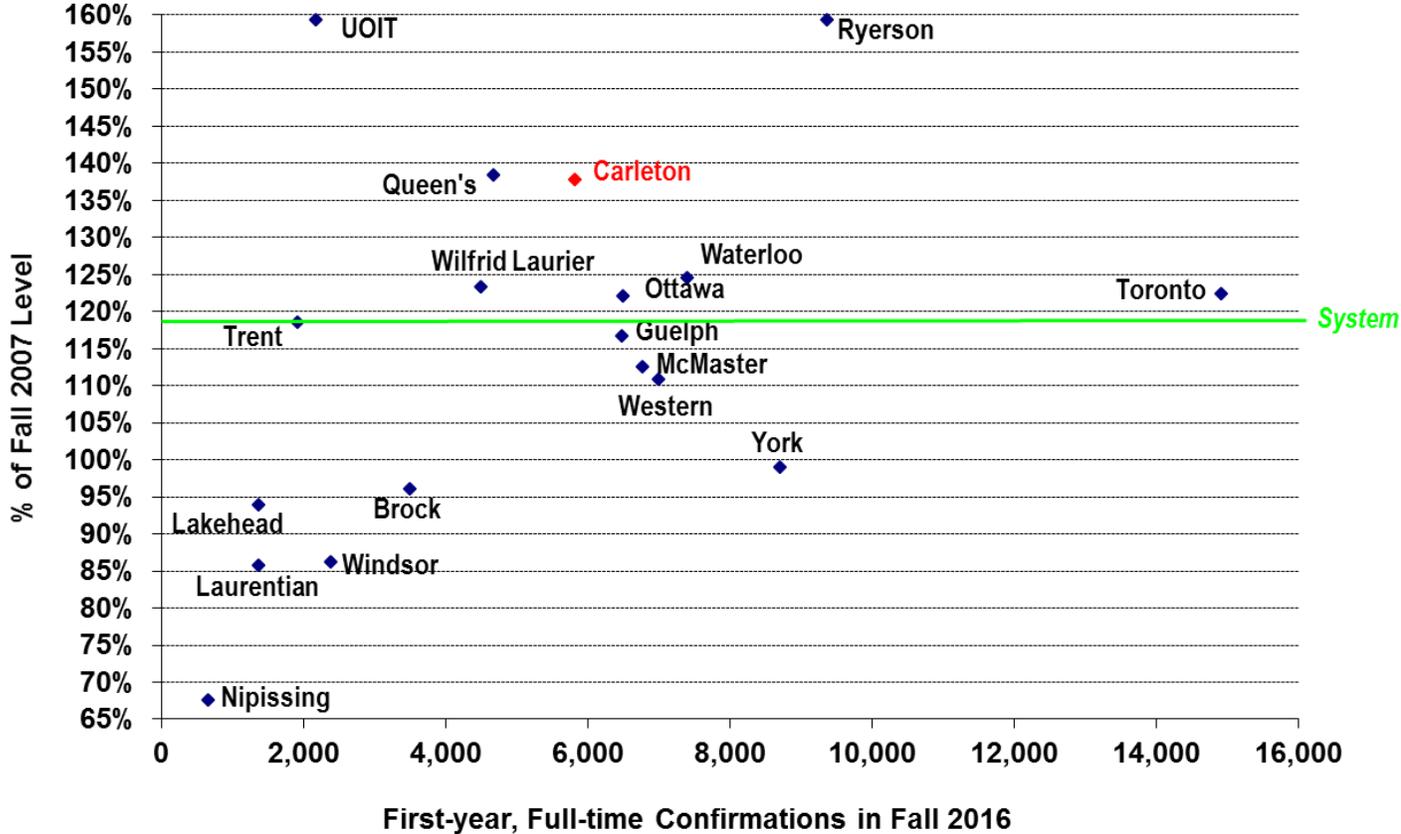
1. Office of Institutional Research and Planning – Nov. 1 2016 data subject to minor correction

# Projected Change in 18-Year-Old Population in Ontario: Carleton Impact



Source: Ontario Ministry of Finance: *Ontario Population Projections Update, 1986-2041* (Fall 2014)  
 Ontario University Application Centre (OUAC) yearly statistics, OIRP Data cubes  
 "Carleton Mix" is calculated based on actual Ontario enrolment mix Ontario intake (Fall 2014).  
 Office of Institutional Research and Planning: 2016-11-02

# OUAC Confirmations: Fall 2016 VS Fall 2007



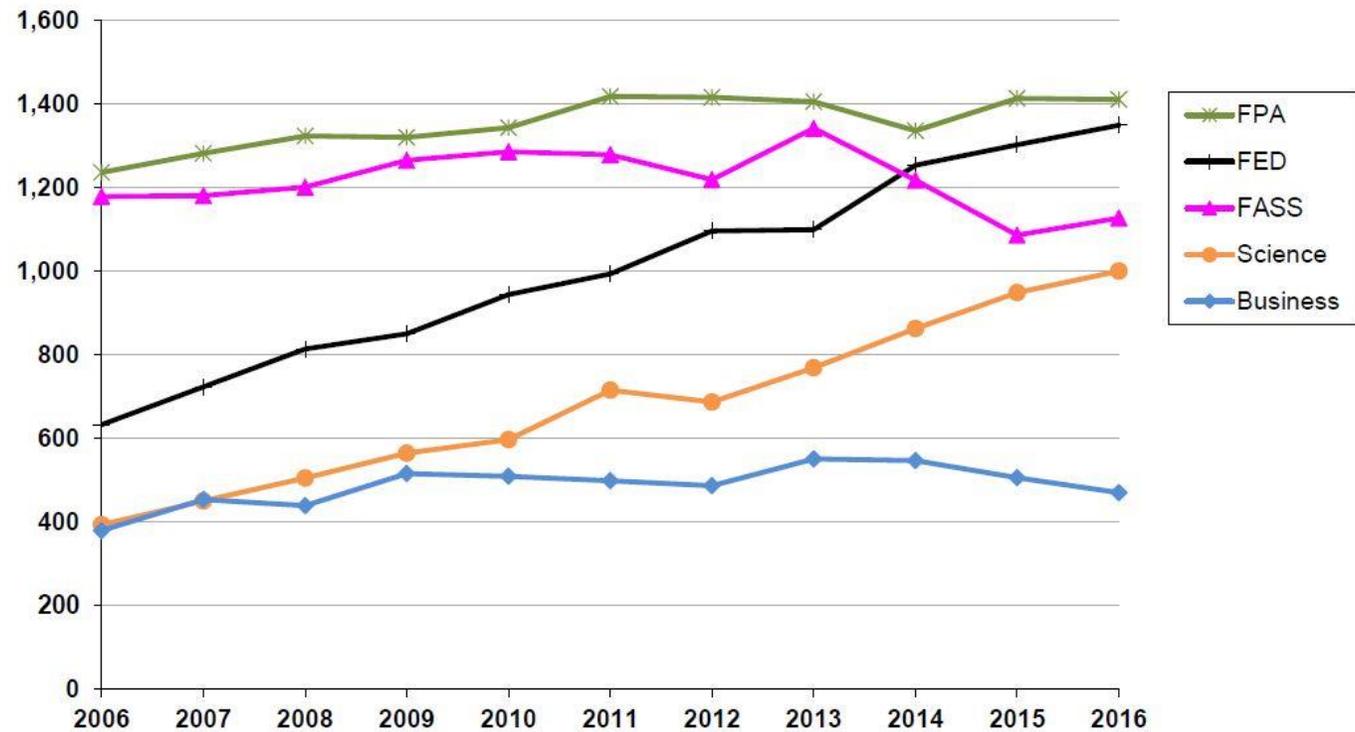
Source: Ontario Universities Application Centre (OUAC)  
OIRP 2016-11-18

# Applications

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- Carleton's market share of 101s was:
  - Fall 2008: 5.0% of registrants (4.8% of confirmations)
  - Fall 2016: 5.9% of confirmations (since registrants data not yet available)
- Carleton attracts a higher-than-average proportion of arts, social science, and engineering students, and a lower-than-average proportion of business and science students

# 2006-2016 Enrolment Trends: New First Year Full-Time Undergraduate



Source: Enrolment Data Cubes, Fall term  
OIRP 2016-10-27

# Geographical Region

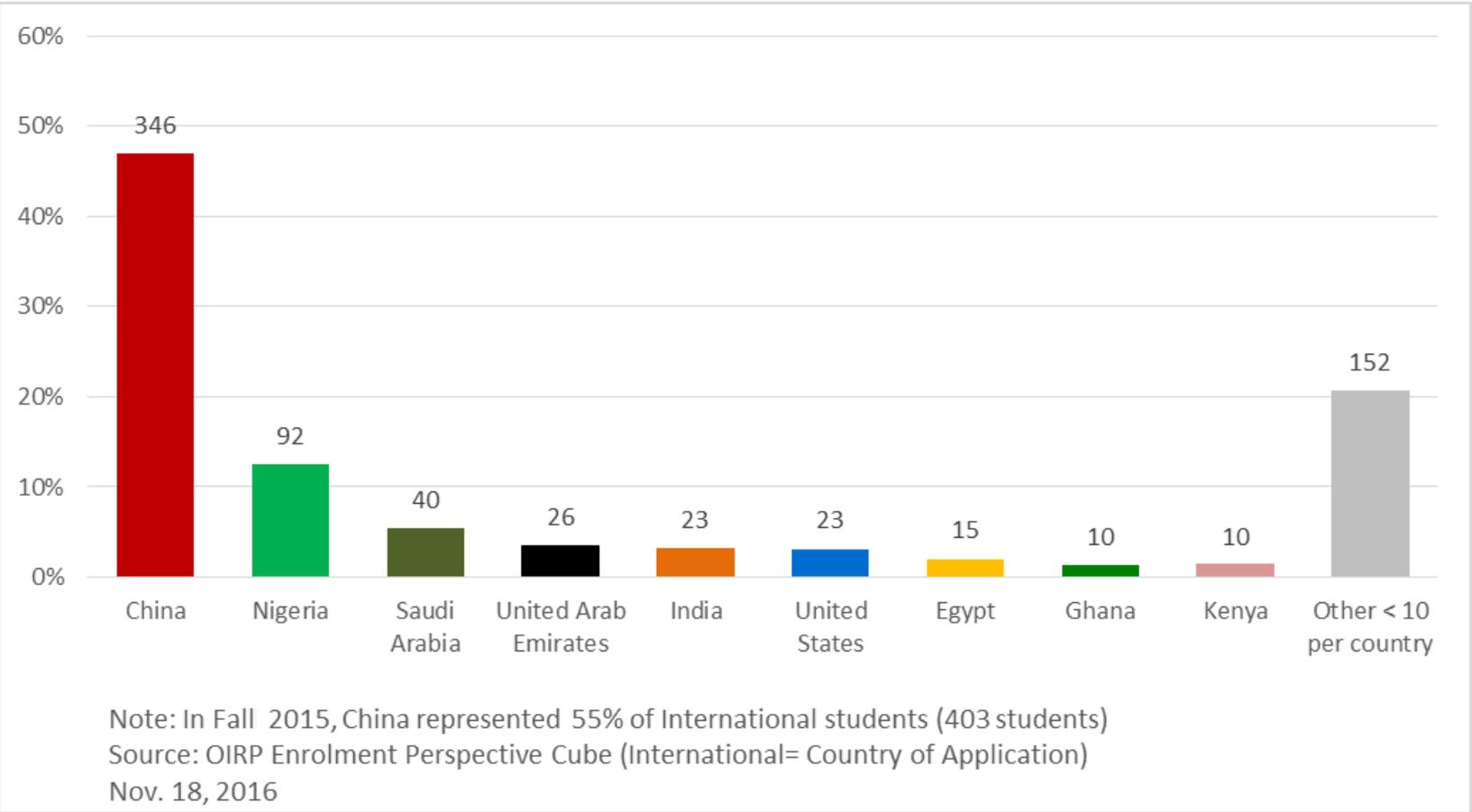
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- In Fall 2016, new entrants into first year of Carleton undergraduate degree programs came from the following regions:

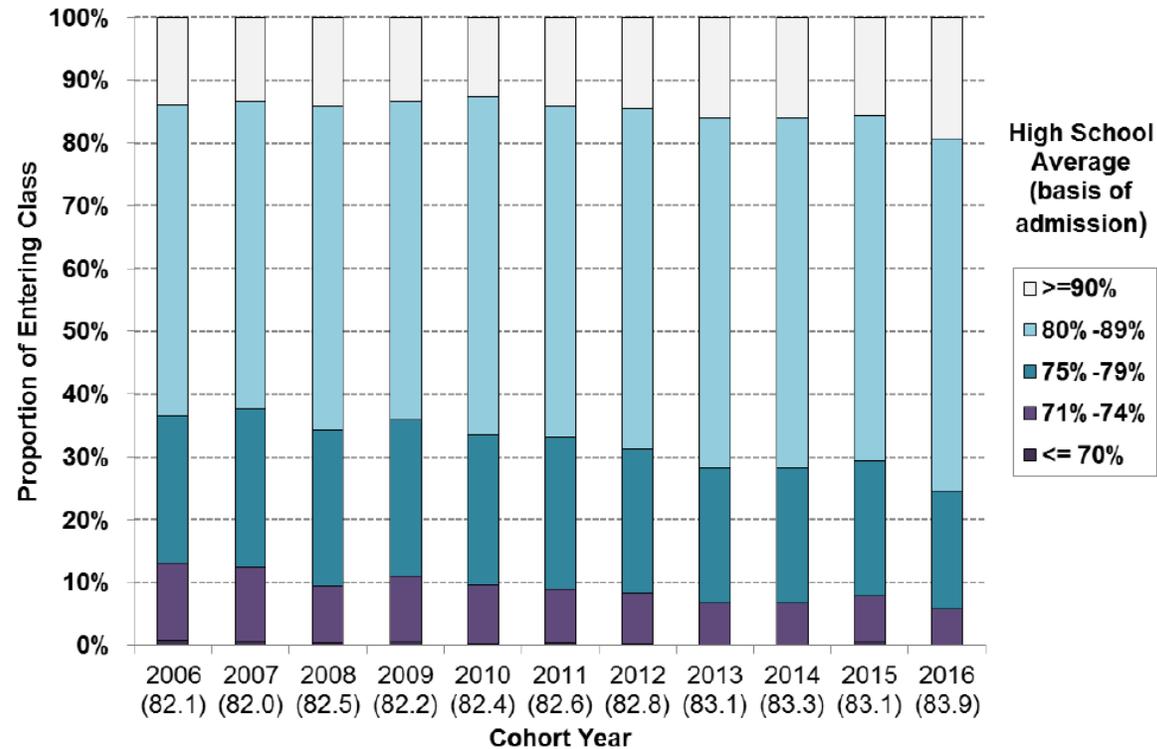
| Region                             | Percentage | Note                                      |
|------------------------------------|------------|---|
| Ottawa & Eastern Ontario           | 47%        | 37.6% Ottawa<br>9.3% neighboring counties |
| Greater Toronto Area               | 18%        |   |
| Other Ontario                      | 13%        |   |
| Other Canada                       | 6%         |   |
| Outside Canada (domestic fee)      | 3%         |   |
| Outside Canada (international fee) | 13%        |   |

- International students represented 13% of first-year entrants in fall 2016, 13% in 2014, 11% in 2009

# Fall 2016, New First-Year International



# Carleton's New First-Year Full-time Students: Increase in higher average students



Source: OIRP Retention cube OIRP 2016-10-28  
The number in parentheses below the cohort year is the average high school average for that cohort

# All Admissions New First-Year Students: Increase in higher average students

---

|      | 2015 Fall | 2016 Fall |
|------|-----------|-----------|
| 95%+ | 3%        | 4%        |
| 90%+ | 16%       | 19%       |
| 85%+ | 41%       | 46%       |
| 80%+ | 71%       | 75%       |

SOURCE: OIRP retention cube – November 2016. Full-time New First-Year students.



Questions?