

**CONSENT AGENDA  
to the Open Agenda of the 623<sup>rd</sup> Meeting of the Board of Governors**

**Tuesday, December 1<sup>st</sup>, 2020  
Via videoconference**

**4.1 ITEM(S) FOR APPROVAL**

**4.1.1 Approval of minutes of the previous meeting and Business arising from the Minutes**

- a) Approval of the Open Session Minutes of the 622<sup>nd</sup> meeting.

**4.1.2 Investment Policy on Non-Endowed Funds**

- a) Executive Summary and Policy were circulated in advance.

**4.2 ITEM(S) FOR INFORMATION**

**4.2.1 Open Space Plan**

**4.2.2 Carleton Dominion Chalmers Centre – Master Planning**

**4.2.3 Ongoing Capital Projects Status Report & Capital Renewal**

**4.2.4 2020/2021 Ancillary Budget Update**

**4.2.5 Investment Report for the Endowment**

**4.2.6 Pension Plan Report**

**4.2.7 Election Process and Handbooks**

- Student, Administrative Staff and Academic Staff Election Handbooks

**4.2.8 Community-at-Large Advertisement**

**4.2.9 Committee Minutes**

- a) Building Program Committee
  - Sept. 15 Meeting Minutes
- b) Finance Committee
  - Sept. 15 Meeting Minutes
- c) Joint Finance and Building Program Committee
  - Sept. 15 Meeting Minutes

**4.2.10 Minutes from Senate**

- August and September 2020



**Canada's Capital University**

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

**Minutes of the 622<sup>nd</sup> Meeting of the  
Board of Governors**

**Tuesday, September 29<sup>th</sup>, 2020 at 3:00 p.m.  
Via Videoconference**

<b>PRESENT:</b>	Mr. D. Fortin (Chair)	Mr. K. von Finckenstein	Dr. J. Malloy
	Dr. B.A. Bacon	Ms. F. Foroutan	Mr. N. Nanos
	Ms. D. Alves	Ms. M. Fraser	Ms. B. O'Connor
	Mr. N. Black	Ms. K. Furlong	Dr. B. Örmeci
	Mr. T. Boswell	Ms. G. Garland	Dr. E. Sloan
	Ms. B. Creary	Ms. C. Gold	Dr. P. Smith
	Ms. S. Davin	Ms. L. Hayes	Ms. J. Taber
	Mr. P. Dion	Ms. L. Honsberger	Ms. C. Terrier
	Mr. J. Durrell	Ms. W. Horn-Miller	Ms. A. Tremblay
	Mr. G. Farrell	Ms. N. Karhu	Mr. A. Ullett
<b>REGRETS:</b>	Ms. Y. Baltacioğlu	Mr. D. Greenberg	
<b>STAFF:</b>	Ms. S. Blanchard	Ms. A. Goth (R. Secretary)	Mr. S. Levitt
	Ms. J. Chandler	Ms. B. Gorham	Mr. M. Piché
	Ms. J. Conley	Dr. R. Goubran	Dr. J. Tomberlin
	Ms. R. Drodge		
<b>GUESTS:</b>	Dr. B. Appel Kuzmarov	Mr. M. Charles	

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**OPEN SESSION**

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

The Chair called the meeting to order at 3:00 pm and welcomed all governors and attendees to the virtual Board of Governors meeting. The Chair acknowledged the Algonquin First Nation and territory on which Carleton University is located. He welcomed observers and staff members as well as the new board members to the meeting.

The Chair also recognized those affected and lost due to COVID-19. On behalf of the Board, he thanked all those practicing physical distancing, and front-line workers who continue to work tirelessly to protect and support the community.

The Chair acknowledged the detention of a Carleton doctoral student, Cihan Erdal, by the Government of Turkey. He noted that this was a complex issue, his hope that justice is served quickly so Mr. Erdal can return to his studies and family in Canada.

The Chair briefly reminded the members of the protocols for Microsoft Teams Board of Governor sessions.

## **2. DECLARATION OF CONFLICT OF INTEREST**

The Chair asked for any declarations of conflict of interest from the members. None were declared.

## **3. APPROVAL OF AGENDA**

The proposed agenda was circulated in advance. It was moved by Ms. Honsberger and seconded by Mr. Black that the open agenda of the 622<sup>nd</sup> meeting of the Board of Governors be approved, as presented. The motion carried unanimously.

## **4. APPROVAL OF THE CONSENT AGENDA**

The following items were circulated in the open consent agenda for approval: the minutes of the previous meeting, business arising from the minutes and the Board Award Criteria and Jury Selection. The following items were distributed for information: committee minutes, update on the 2020/2021 Operating Budget, 2020/2021 Ancillary Budget, Replacement Parking Structure for P9, Project Closure Reports – ARISE and Health Sciences Building, Sustainability Plan (2020 – 2025), Healthy Workplace and Mental Health at Work, Board Work Plan and Schedule of Meetings and minutes from Senate.

It was moved by Mr. Nanos and seconded by Mr. Black, that the items in the open consent agenda be approved, as presented. The motion carried unanimously.

## **5. ITEMS FOR APPROVAL**

### **5.1 Audited Financial Statements for Year ended April 30, 2020 and Audit Finding Report**

The draft consolidated financial statements, audit findings report, and annual financial report were circulated in advance.

Lynn Honsberger, the Chair of the Audit and Risk Committee outlined that at the Audit and Risk Committee on September 15<sup>th</sup>, the committee reviewed both the audited financial statements for the year ended April 30<sup>th</sup>, 2020, and the related Audit Findings Report, with Carleton's Financial Services team and with Rob Clayton, and Amanda Wilson of KPMG.

The Audit Findings Report indicated that KPMG did not identify any differences requiring adjustment, and it did not identify any control deficiencies in the internal controls over the high-level financial reporting we see in the audited statements. It was also reported, that any financial reporting risks had been addressed in the audit and that KPMG was satisfied with the reasonability of the accounting estimates regarding employee future benefit liabilities. KPMG also confirmed its independence to the committee. The committee thanked the Financial Services team and KPMG for completing all usual external audit milestones despite the pandemic, which required the auditors to complete additional auditing procedures and to interact with the university representatives entirely online.

On the recommendation of the Audit and Risk Committee, it was moved by Ms. Honsberger and seconded by Ms. Creary that the Board of Governors approve Carleton's 2019-2020 Consolidated Financial Statements and the Audit Findings Report, as presented. The motion carried unanimously.

## **6. ITEMS FOR INFORMATION**

### **6.1 Equity and Inclusive Communities Advisory Group Recommendations for Equity, Diversity and Inclusion Strategic Actions**

An executive summary, presentation and report entitled *Draft Recommendations for Equity, Diversity and Inclusion (EDI) Institutional Strategic Action* was circulated in advance.

The President gave introductory remarks outlining the development of the Equity and Inclusive Communities (EIC) Advisory Group, a representative group of 30 members advising on the development of an EDI strategy for Carleton. The Advisory Group is balancing the need to consult broadly, to build consensus and develop a strategy while moving with the sense of urgency associated with this particular moment in time. The EIC department drafted the strategy which has been reviewed by the EIC Advisory Group. Consultation has started across campus on the strategy.

Mr. Michael Charles, Assistant Vice-President and University Advisory Equity and Inclusive Committees spoke to this item stating that EDI has been identified as critical to the future success of the university by the Board, Federal Tri-Agency Research Funders, faculty, staff, students, public and private sector employers and external community members. The strategy sets out an institutional strategic vision for EDI at Carleton and provides an operational framework for actions while integrating with institutional plans to accelerate the academic mission.

A proposed timeline was outlined which included consultation with the Board of Governors and Senate in September and December. Community townhalls, consultation and events around inclusion week (October 19 -23) are planned.

The areas identified for the EDI Strategic Actions include curriculum and pedagogy; student supports; research; senior leadership team and board of governors; leadership development general (non-academic employees); leadership development general (academic employees); disaggregated demographic data collection; representation and outreach; culture; and EDI planning infrastructure and reporting. It was noted that many of the areas identified are interconnected.

The plan is innovative with positive framing around value creation and leadership development with beneficial behaviors being incentivized; integration that reinforces, supplements and is intersected with other university plans; is holistic in terms of community engagement and data driven, evidence-informed; flexibility to leaves room for local customization; and ambitious in that it has a comprehensive vision in addition to technical specificity.

There are opportunities for convergence with the *Kinamagawin* report, and coordinated accessibility strategy.

Areas for the senior leadership team and board of governors to show leadership with the EDI Action Plan were outlined including providing inspiration and accountability, representation and communications. The Board can assist by requesting annual reports, supporting and resourcing initiatives and by actively modelling best practices, by completing and endorsing training, education and professional development programs and by continuing with EDI informed recruitment. It was noted that the Board is leading by having an EDI statement being conversant in the benefits in EDI and by communicating and ensuring strategic actions are communicated to achieve widest reach.

The Chair thanked Mr. Charles for his leadership on EDI at Carleton. Noting that speed and depth balancing is difficult and complex but the need to consider long lasting culture change. He also noted the benefit of connecting the strategic actions to ongoing plans and the richness of the potential. He also expressed his personal support of the strategic actions.

A member raised the issue of pay equity between male and female professors. Mr. Charles noted that initiatives including an outside consultant were already underway and where not listed in this list of recommendations in order not to duplicate efforts.

A member asked how many racialized specific counselors are expected. Mr. Charles noted that there is a racialized specific counselor being hired currently. An evidence-based approach in collaboration with the Vice-President (Student and Enrolment) team is used to assess and evaluate need for resources.

A member asked if there is a reporting process for general trends around a specific staff member or perceived university oppression for making a recommendation to senior management. Mr.

Charles noted that all staff and faculty are aware of the human rights policy and complaints process..

A member asked how behaviors can be incentivized. Mr. Charles responded that the process of integration and embedding of learning and professional development feeding into identifying and fostering talent will influence a positive trajectory of an employee through the organization. The establishment of awards that are EDI based to show those types of values are recognized. It is also proposed that those who have research interests in EDI can identify each other and work together collaboratively to propose research projects that are recognized, creating the structures to enable the promised benefits of EDI.

A member asked if there had been thought put into course delivery. Mr. Charles responded that first-year students will be mandated to take an EDI/Human Rights training module similar to the Accessibility for Ontarians with Disability Act training to provide baseline knowledge for compliance obligations. Carleton is approaching education and professional development through various avenues including encouraging faculty members to incorporate EDI into course design, research incentives, and voluntary programming.

Further the member inquired under the Senior Leadership Team and Board of Governors Strategic Actions section, specifically resourcing support and representation, what short-term projects should be undertaken to ensure diverse voices are heard at this level. Mr. Charles expressed that it is incumbent upon senior leadership to ensure diversity around decision making tables and in who is called to serve in specific capacities. In terms of resourcing all requests for funding will proceed through the normal request process through the Provost Budget Working Group to gain approval.

The member further asked about oversight by the University on the Special Constables Program to ensure racialized students feel safe on campus. Mr. Charles responded that Campus Safety Services has an Action Plan which was enacted Fall 2019 and is referred to in the *Recommendations for Equity, Diversity and Inclusion (EDI) Institutional Strategic Action*. The CSS Action Plan is quite elaborate in terms of professional development and training and an appointments procedure and culture review for CSS has just been completed with an outside consultant which will feed into further educational opportunities and review.

The Board Chair noted the board's responsibilities in the Strategic Actions, that Mr. Charles will present on this item again in December and reminded members of Inclusion Week in October 2020.

Mr. Charles left the meeting.

## **7. ITEMS FOR INFORMATION**

## 7.1 Senate Annual Report

An executive summary and report were circulated in advance.

Betina Appel-Kuzmarov, Clerk of Senate was introduced to provide a verbal report.

The President, Chair of the Senate, noted both Dr. Appel Kuzmarov and Ms. Kathy McKinley, Assistant University Secretary's support for the administration of Senate with diligence, professionalism and good judgement has allowed innovation and creativity on the technical and substantive issues benefitting collegial governance of the university.

Dr. Appel Kuzmarov thanked the Board for the invitation and Ms. Jaclyn Chandler for her support in preparing the Senate Annual Report. She also thanked the President for his leadership and mentorship. She noted that university governance was maintained through the pandemic with thanks to the Senators for their flexibility and adaptability.

Senate took an active role in the transition to online teaching, taking onboard the recommendations of the Carleton University Scenario Planning Group's regarding online teaching. Senate also approved the transition to flexible grading in particular allowing satisfactory and unsatisfactory grades for the Winter 2020. The academic performance evaluations were also amended to be able to better support students during the pandemic.

The Senate mandated the Senate Committee on Curriculum, Admission and Studies Policy to conduct a review of the online learning process. Senate ensured that 3,890 students graduated on schedule in June 2020. Over 2019/2020, Senate approved a total of 6,408 graduates and awarded all academic medals as planned.

Over 2019/2020 that Senate also accepted the recommendations of *Kinamagawin* report and were consulted seven separate times on the Strategic Integrated Plan before approving the plan in May 2020. Senate received a presentation on the provisional operating budget, approved a new policy on academic accommodations during labor disputes and 46 new student awards.

The normal operation of Senate includes maintaining quality assurance processes for all programs, approve major and minor modifications to programs and courses and make calendar changes which all proceeded without interruption over 2019/2020.

Steps have also been taken to help inform the Board and the community-at-large about what Senate does throughout the year by the use of summary called *Inside Senate* which is distributed to the community following the meetings. A secure intranet site for documentation has also been established in 2019 to better support Senators. The Senate Office also conducted its 2<sup>nd</sup> annual Senate Survey to get feedback from Senators to improve the quality of the work of Senate.

The Chair thanked the Clerk of Senate for her report which fosters a spirit of trust between the governance bodies and benefits all of campus. He also thanked the Senate and its members for their important work which had to be pivoted quickly online.

A member asked if Senate is considering any of the grassroots petitions for black lives matter curriculum reforms within Public Affairs and Policy Management (PAPP) and the Faculty of Public Affairs curriculum. Dr. Appel Kuzmarov responded that collegial governance is grassroots in nature and Senate will discuss items when they are brought forward from units for things such as curriculum changes.

## 7.2 Student Support and Engagement Virtually

An executive summary and presentation were circulated in advance.

Suzanne Blanchard, Vice-President (Students and Enrolment) provided a presentation on Carleton's student support and engagement in a virtual environment are essential.

Ms. Blanchard outlined a synopsis of the services offered. The services were outlined in five pillars of: academics, finances, employability, campus life and wellness. These five areas help to organize services to help students when they need them the most. All services have been transitioned to a virtual format while maintaining services standards. As online learning is new to the majority of students and they are studying across the world, a new online pillar was developed to help support key online support services and communications for students. This pillar outlined new online supports developed, updates made to existing student websites and the steps taken to ensure students could access services virtually.

At the beginning of the pandemic a centralized student listing of how-to connect with student services was launched and communicated. The Pathways to Graduation website was updated to reflect online learning. The *Ask Me Campaign* went virtual for 2020. Teaching and Learning Services set up a new Carleton Online Hub to provide online learning supports and a top ten tips to study online was launched. Information Technology Services has also provided support by providing minimal technical requirements and a listing of technology available to students.

The Student Registration Team provided registration assistance virtually through Microsoft Teams to ensure students could register online and have the information needed for courses. Six lessons were created as part of an online learning orientation for students on cuLearn. Learning Support workshops including writing consultation, and peer assisted student sessions transitioned online. A pilot project was launched for a Student Success Certificate for Fall 2020 which includes academic and wellness modules to equip students. The Students as Partners Program also continued virtually, this program allows for a paid undergraduate experience for students to assist with teaching innovation and supporting Faculty.

Financial literacy, planning and budgeting tools continue to be offered to students. Students are able to apply for financial support (up to \$500) for technology assistance (internet access, hardware or software). A Student Emergency Fund was established since the beginning of the pandemic to provide emergency financial assistance to Carleton students who experiencing short-term financial hardship relating to critical needs (groceries, housing and utilities). Donations to the Student Emergency Fund can be provided through FutureFunder. The work-

study program continues with remote work opportunities for students. The work and process for OSAP, scholarships and bursaries continued virtually.

An employability and experiential learning framework were developed throughout 2019/2020 academic year and is being rolled out in 2020/2021 which will guide supports for employability. 600 remote co-operative education placements were done in Fall 2020. Virtual international internships and the Accessible Career Transitions to Employment (ACT to Employ) placements have been on-par with previous academic years. The Career Development four-part series was held virtually in June 2020 with four topics, career growth, mindset, employability, job search, networking skills and preparing for interviews, to prepare graduates for the job market. In addition, virtual career fairs were being held with virtual booth visits for employers and students. Career counsellors continue to hold virtual and phone consultations with students.

Campus life was affected by the pandemic since students cannot come to physical campus but the team has found ways to continue engagement virtually through CU 1001 on cuLearn – *Your Start to Student Life at Carleton* which replaced the summer orientation program. A virtual Fall Orientation was held with 400 student volunteers who held virtual games, a pop-up drive-in movie, interactive storytelling and a song request experience with members of the *Arkells*. Carleton lead the new eSports League in Ontario post-secondary league. Intermural eSports is also being offered. Ms. Blanchard mentioned that eSports was always something Carleton wanted to do but the pandemic was an opportune time to launch the initiative and take the lead for the Province.

A virtual programming hub was developed call CUx which working in collaboration with student clubs and CUSA with three key pillars – create, connect and contribute in order to provide a collaborative environment for Carleton student groups and stakeholders to design virtual programming.

The Community Partnership Program is designed to connect students with community organizations. After taking modules on community engagement and project management the students will spend winter reading week, February 2021, remotely supporting the community organization they are partnered with to conduct research, planning and execution of COVID-19 transformation initiatives.

The Mentorship Program had 170 upper year mentors matched with first-year students including international students, transfer students and first-generation students to support their transition into post-secondary education. The Global PALS Program specifically supported international students.

A number of virtual engagement events are being hosted by Housing and Residence Life Services to support and engage students living in residence including boardgame nights, scavenger hunts, trivia nights, etc. with physical distancing.

The Student Mental Health Framework 2.0 is continuing to be implemented and has pivoted online. Virtual counselling services and health services pivoted online over a weekend in March.

Empower Me continues to be available to domestic students across Canada and support for international students has also be introduced to a number of countries. Counsellors are not able to counsel all international students due to legal restrictions so this is a great way to support international students in their home countries. The Therapy Assistance Online program is being offered virtually which provides support and assistance for building resilience and well-being from home. At the beginning of the pandemic a list of local, provincial and international mental health resources was posted for students to access from across the world. The Carleton Therapy Dog Program continues to provide support through Instagram Live sessions that have been extremely popular. Substance use and harm reduction supports are continuing virtually including all pathways peer support meetings. Faculty and staff continue to submit Care Reports which indicate students who are struggling and Student Affairs follows-up with supports through email, phone and videoconference.

A member asked if students have provided feedback on what has been successful and flagged any areas where more effort might be required including isolation at home and mental health. Ms. Blanchard responded that main issues at the beginning of the pandemic were the ability for students to study from home and access to technology. In addition, students are still in contact with each other. Student Affairs continue to provide support for students learning and studying remotely.

### 7.3 Report from the Chair

Dan Fortin, Chair of the Board reported that the members had a great start to the board year with the virtual orientation where the Board heard from Paul Davidson, President of Universities Canada. He also reported that all committees successfully met over the month of September and thanked the members for their participation. The Chair reminded members that the university will be hosting the launch event for the Strategic Integrated Plan on September 30 at 2 pm. He also encouraged all members to participated in Inclusion Week (October 19 to 23) which will focus on inclusion in a time of pandemic response, racial reckoning and technological transformation.

### 7.4 Report from the President

A written report entitled *President's Report to the Board of Governors – September 29, 2020* was circulated in advance.

Benoit-Antoine Bacon, President and Vice-Chancellor shared his concern for the doctoral student detained in Istanbul on September 25<sup>th</sup> and was awaiting trial in Ankara. The university has engaged with the Canadian government to seek their assistance towards his release.

The fall semester started on September 9<sup>th</sup> and he thanked the Carleton community for successfully adapting to the circumstances to maintain the academic mission and collegial governance throughout the ongoing pandemic. Enrolments remain steady at 31,500 students. The President congratulated students for their decision to continue their studies through the pandemic. The decision to hold the fall semester primarily online was the right decision for the

health and safety of the community as well as to maintain Carleton's academic mission and operations. Winter 2021 term will also be held online as a second wave of the pandemic has been confirmed. The university needs to remain vigilant and take all steps needed to maintain the health and safety of the community.

The annual Throwback celebrations are being hosted the week of September 28<sup>th</sup> with the launch of the Strategic Integrated Plan (SIP). The plan has been a year in the making and president expressed his excitement for the virtual event. One of the plans that stemmed from the SIP is the Equity, Diversity and Inclusion Plan outlined earlier in the meeting.

The President concluded by thanking Dean André Plourde who was completing his transformative mandate as Dean of the Faculty of Public Affairs at the end of September 2020. His successor Dr. Brenda O'Neill starts at Carleton October 1, 2020 who comes from the University of Calgary.

A member asked what the university is doing in Turkey to safeguard the well-being of other Turkish international students. The President responded that this issue would fall under the purview of the International Student Services Office. Ms. Blanchard, Vice-President (Students and Enrolment) added that the ISSO does reach out to any international student requiring assistance and has advisors that have expertise in immigration issues as well the office has SOS international to provide support for Carleton students as a resource for students who maybe in need.

#### 7.5 President's Goals and Objectives for 2020/2021

A memo entitled *President's Goals 2020-2021* was circulated in advance.

Dan Fortin, Chair of the Board outlined that the goals and objectives as outlined in the memo were reviewed and approved by the Executive Committee on September 21<sup>st</sup>. Progress towards the goals will form part of the basis of the President's Annual Assessment which is the responsibility of the Executive Committee. A survey will be sent to all board members for their input in April 2021.

#### 7.6 Committee Chair Updates

##### 7.6.1 Advancement and University Relations Committee Report

Patrick Dion, Chair of the Committee reported on the meeting held on September 21, 2020. The committee reviewed and will be recommending approval the Board of Governors' Award for Outstanding Community Achievement criteria, jury selection and timeline. The call for nominations will be released in November with applications due in February. The jury will review applications over March and make a recommendation to the committee and the full Board in April 2021.

The committee also received a presentation on the Reputational Strategy by the Banfield Agency. Banfield is an Ottawa based agency hired by Carleton to assist with brand development. Four senior members of the agency presented on the overall process, program development and work which started in July and continues into March 2021. Consultation will occur through October with a wide-range of internal and external stakeholders, after which they will begin their analysis. A draft strategy will be expected by December 2020, before the agency moves into the creative component which will include messaging, logo and photography recommendations. The agency pointed out the challenges currently faced by Carleton including reputation lagging behind achievement, its distinctiveness is not well-defined requiring efforts to differentiate Carleton's identity from other universities.

An update was received from Advancement on revenues, resilience, and relationship goals for 2020/2021. The revenue goal is to maintain a \$25M rolling average over three-years. Phase 2 of the holistic integrated partnership, phase 2 of the Hub for Good, community liaison and support of Carleton's SIP priorities, retaining donors and talent, thought leadership and best practices for the philanthropy sector are priorities. The committee will be receiving an in-depth presentation from a member of the philanthropic community in January to help guide Carleton's strategy moving forward.

The committee also reviewed the work plan and terms of reference for 2020/2021 and with a few minor changes to dates they are in keeping with past practice.

#### 7.6.2 Building Program Committee Report

Beth Creary, Chair of the Committee reported on the meeting and the joint meeting held with the Finance Committee held on September 15, 2020. Upcoming major projects were discussed including the replacement of the P9 parking structure which is due for decommissioning in 2024. Preliminary discussions on a replacement structure are underway taking into consideration the university's transportation strategy, timeline, location, finances for this future project. It is expected that the committees will receive a fulsome report in November.

Status reports on current major projects and deferred maintenance were also received. Current capital projects underway total \$245.4M and as of July 31, 2020, total expenditures incurred and value of work completed totaled \$191.8M, with forecast spending of \$58.6M. Current project includes: Cogeneration Facility which is expected to be completed in fall 2020; the Nicol Building with a revised completion date of March 2021; the Engineering Design Centre has an expected building permit as of late September 2020 and construction is underway; the new Student Residence has been put on hold due to the pandemic in order to determine demand for on-campus activities and financial impact however the design work is continuing. Completion reports were received for the ARISE Building and the Health Sciences Building. Cost over-runs and delays were outlined for the ARISE Building due to design, program delays and project

management issues. The management team outlined the lessons learned from both projects and plans in place for buildings moving forward.

The Building Program Committee also received a presentation on the Sustainability Plan 2020-2025. The Sustainability Plan includes six main themes of: leadership; teaching and learning; research; operations; community engagement; and sustainable collaboration. A full update was also received on the transportation and parking strategy. It was noted that the Raven's Road access for buses to Bronson Ave. would be completed by September/October 2020.

Upcoming capital planning projects was also discussed including the Wellness Hub, Residence Building and the Energy Efficiency and Sustainability Building.

A member asked if the proposed new student residence would include lower rental prices for some units for those students of lower income. The Vice-President (Finance and Administration) responded that the fees are determined through competitive analysis based on market pricing. Students in financial concerns are supported through financial assistance programs through Carleton and the government through loans, grants and scholarships to help with accommodation costs. Further Mr. Piché stated that Residence and Housing Services is an Ancillary operation and therefore needs to generate sufficient revenue to offset costs.

Further the member asked about Carleton's green emissions standards and goal for carbon-neutrality by 2030 and the strategic alignment in the Sustainability Plan in regard to P9 parking lot replacement if there was consideration given to harmonize infrastructure planning to include green parking spaces or making the parking structure environmentally friendly space. Mr. Piché responded that new infrastructure projects are designed to take into consideration the latest green design and standards. In addition, allowances are being made for sufficient charging spaces for electric cars and are looking to minimize environmental disruption during construction.

### 7.6.3 Finance Committee Report

Debra Alves, Chair of the Committee reported on the meetings held on September 15, 2020. For the P9 Replacement Garage, Ms. Alves noted that the management team has been asked to include in their report for November financial assumptions including lower parking rates, the impact of the pandemic, and testing Carleton's ability access to foreign markets. It was noted that the Student Engineering Design Centre project cost has crept up from \$16.9M to \$17.3M, management advised that this was due to change in scope but was now a firm cost.

The committee received updates on the 2020/2021 Operating Budget, although early in the academic year the estimated outcomes project better than the optimistic scenario reported previously which still anticipates a revenue short-fall but well worst-case scenarios. Final enrolment numbers will be key. Provincial operating grants are expected to remain stable as funding is provided within the enrolment corridor. The revised budget also included a COVID-

19 contingency of \$27M to cover related costs. It was decided that it is too early to lift the hold on discretionary spending of \$23M but this could be up for consideration in November.

The Ancillary Budget for 2020/2021 has been adversely impacted since majority of the services require in-person access. Revenues are significantly decreased while fixed costs remain unchanged. Variable costs were possible have been reduced. The original \$1.7M surplus is now projected to be a \$33.8M deficit. The biggest contributors to the projected deficits are housing, dining and conference, athletics and parking services. It is anticipated that the Ancillary Services will require financial support from the operating budget particularly in the areas of infrastructure renewal and new capital. The university management remains confident that the university will be able to operate within the available financial resources.

At the Finance Committee meeting, the members received the 2019/2020 Financial Report which showed positive financial results for the both the operating and ancillary budgets although smaller than previous years due to the beginning of the pandemic, a special pension payment of \$60M, and the decline in investment income.

The committee also reviewed the 2018/2019 Provincial Metrics Ratios which compare the financial metrics that compare between universities which the government uses in its oversight of the industry's financial health. These ratios indicate that Carleton is in a strong financial position in comparison to many other Ontario universities. Updated Provincial Metrics will be available in Spring 2021. The Finance will continue to monitor these ratios.

Lastly the committee reviewed its terms of reference and work plan for 2020/2021.

A member asked if there has been long-term planning for divestment in terms of Carleton's investment portfolio from fossil fuels which is of concern to students. Ms. Alves responded that for the Pension Plan is subject to a fiduciary obligation to invest in the best interest of the pension plan members so although responsible investment is part of the investment strategy divestment is not necessary a strategy for the Pension Plan. On the Endowment Fund, responsible investing as always been part of the investment strategy and is also on an upcoming agenda to review fossil fuels and climate change impacts. Mr. Piché added that discussions are starting with various student bodies to discuss responsible investing in October 2020.

Further the member stated that there is a petition signed by 3,000 students regarding the reduction of tuition costs due to online course delivery, and inquired if there is any feasibility of lowering tuition in a limited capacity moving forward. Mr. Piché stated that pivoting to online course delivery has required considerable investment to improve online course delivery and improve technology. In addition, the operating costs of the university have not decreased. The President added that no blanket solutions will be helpful since all students have different financial situations and needs. There are a number of ways students can seek financial support

including the federal funding, provincial funding and Carleton's Emergency Help programs in place.

#### 7.6.4 Governance Committee Report

Dan Fortin, Chair of the Committee reported on the meeting held on September 21, 2020, which reviewed the student, administrative and academic governor handbooks providing feedback to the university secretary. Revised handbooks will be brought to the committee in November. The committee also started a review of the skills matrix questionnaire as well as the skills, experiences and perspectives the Board recruiting for in 2021/2022. An overview of the board training program was also received. The committee also reviewed the work plan and terms of reference for 2020/2021 which includes review of various policies and appointment guidelines.

### **8. OPEN-OTHER BUSINESS**

No additional business was brought forward.

### **9. OPEN-QUESTION PERIOD**

No additional questions were brought forward.

### **10. END OF OPEN SESSION AND BRIEF NETWORKING BREAK**

There being no further business, it was moved by Dr. Sloan and seconded by Dr. Smith to adjourn the Open Session of the Board of Governors at approximately 4:59 p.m. The motion carried unanimously.

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 11/09/2020
<b>From:</b>	Finance Committee	<b>Date of Meeting:</b> 12/01/2020
<b>Subject:</b>	Investment Policy – Non-Endowed Funds	
<b>Responsible Portfolio:</b>	Finance and Administration	

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

On the recommendation of the Finance and Endowment Investment Committees, move to approve the Investment policy – Non-Endowed Funds, as presented.

### 3.0

#### EXECUTIVE SUMMARY

The Investment Policy – Non-Endowed funds provides a framework for investing funds available from operating, research capital and other non-endowed funds. This policy does not include pension and endowment funds that are separately managed. The primary objectives of the policy is to preserve capital, maintain liquidity, and maximize returns.

### 4.0

#### INPUT FROM OTHER SOURCES

The Investment Policy – Non- Endowed Funds was crafted under the auspices of the Investment Committee, with input from the offices of Pension Fund Management and Financial Services.

### 5.0

#### ANALYSIS AND STRATEGIC ALIGNMENT

The fund consists of those amounts not immediately required for use, whether from short-term operating surpluses, or from research and capital project financing received in advance of use. These amounts are pooled together for greater flexibility on maturity dates and quality of investments

The returns from non-endowed investments constitute a significant source of operating income for the University. The investment strategy for the funds is two-fold:

- A- The first practice, in recognition that cash balances will be available in perpetuity to a certain amount (currently \$100 million), is to invest in equity funds. This is in keeping with the stated objective of maximizing returns.
- B- The second practice permits investments in short term instruments (e.g. government treasury bills, commercial paper) and longer term instruments (e.g. bonds). This strategy is in keeping with objectives of preserving capital, and maintaining liquidity.

The policy sets out the maximum investment that can be made with any one Manager, and Governance Structure for Board Oversight and the role of University Administration. The current approved investment managers are set out in Appendix A of the Policy

### 6.0 FINANCIAL IMPLICATIONS

The Investment Policy for Non-Endowed Funds has as its primary objective to preserve capital, maintain liquidity and maximize returns. Managing these three objectives will, by definition, have financial implications. It is felt

that the investment strategies and governance structures in place are adequate to result in positive financial results as compared to the benchmarks.

**7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT**

The investment of funds will, by its nature, carry some risk due to the market and the nature of investments and the associated risk that funds may not be available for their designated use. The majority of the University’s funds are invested in low risk fixed income instruments (approximately \$440 million as at April 2020), while \$106 million was held in equity funds. In recognition that the equity funds added a level of risk to non-endowed investment, a further mitigation measure of adding an income equalization reserve was established to absorb short-term negative deviations from budget (reserve balance of approximately \$40 million as at April 2020). The policy also addresses: monitoring and control; compliance reporting; standards of conduct; and, conflict of interest guidelines.

**8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY**

The investment of university funds is the responsibility of management and overseen by the Board of Governors and the Finance Committee. Carleton’s Investment Committee, reporting to the Finance Committee, also supports the ongoing management of both endowed and non-endowed funds. Inappropriate investments could lead to financial losses that could negatively affect the reputation of the University and impact the relationship with donors, and financial institutions. The well-established governance structure, permitted investments and management oversight all contribute to mitigating this risk.

**9.0 OVERALL RISK MANAGEMENT ANALYSIS**

	LOW	MINOR	MODERATE	SERIOUS	VERY SERIOUS
STRATEGIC	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Policy Name:</b>	Investment Policy – Non-Endowed Funds
<b>Originating/Responsible Department:</b>	Office of the Vice-President (Finance and Administration)
<b>Approval Authority:</b>	Board of Governors
<b>Date of Original Policy:</b>	November 2020
<b>Last Updated:</b>	November 2020
<b>Mandatory Revision Date:</b>	November 2025
<b>Contact:</b>	Vice-President (Finance and Administration)

**Policy:**

The University will invest non-endowed funds with the primary objectives of preserving capital, maintaining liquidity, and, maximizing return.

**Purpose:**

The purpose of this policy is to provide a framework for investing funds available to the University from operating, research, capital and other non-endowed funds.

**Scope:**

This policy applies to investments from operations that do not include pension and endowment funds that are separately managed.

**Investment fund characteristics:**

The fund consists of those amounts not immediately required for use, whether from short-term operating surpluses, or from research and capital project financing received in advance of use. These amounts are pooled together for greater flexibility on maturity dates and quality of investments.

The cash flows of the University are generally predictable and permit a further characterization of investment funds into two components:

Equity investments: Up to \$100,000,000 of the non-endowed funds can be invested in equities and/or equity funds. This amount is seen as a conservative estimate of the cash balances that will be available in perpetuity. The Investment Committee will review the amount invested in equities at least annually.

Cyclical/variable amount: Reflects fluctuations in cash balances throughout the year. Investments in money market securities and short-term bonds that can be internally or externally managed.

## **Investment principles:**

**Variable amount:** The investment principles are based on the following objectives:

- (1) Preservation of capital – security of principal is a primary goal;
- (2) Liquidity – also a primary goal, liquidity risk is managed by limiting investments to readily marketable short-term securities;
- (3) Reasonable level of return commensurate with acceptable risk – all investments must be investment grade quality;
- (4) Diversification – investment in various assets (as indicated below) to further minimize risk and maximize returns.

The variable component of the fund is the amount based on the short-to-medium-term cash flow financial forecast, covering a period of up to three years, prepared by University Administration. Funds in excess of those required on a daily basis should be invested at the maximum yield available consistent with the requirements for security and liquidity.

Investments should be arranged, so that through maturity dates or sales, cash will be available when required. The maximum term to maturity of any instrument is three years. The average term to maturity is two years at any point in time.

## **Investment policies:**

### **Permitted investments:**

Equities: The list of approved investments for the core amount is included in the Statement of Investment Policies and Procedures – Carleton University Endowment Fund as approved by the board of Governors. This is comprised of a diversified portfolio of Canadian and foreign equities, Canadian fixed income securities, and cash and cash equivalents.

Variable amount: The approved investments by asset class are summarized as follows:

- (1) Cash and short-term investments:
  - All quality ratings are applied at the time of purchase. If an investment in the portfolio is downgraded below an A- the Manager shall inform the University and the investment may be held to maturity.
  - i. Permitted short-term instruments:
    - Government of Canada treasury bills, notes, debentures and any obligations unconditionally guaranteed by the federal government of Canada.
    - Provincial and municipal treasury bills, notes debentures and any obligations unconditionally guaranteed by the provincial and municipal governments of Canada carrying a R-1 (low) rating from DBRS, and a long term debt rating of A- or higher by Standard and Poor's, DBRS or an equivalent rating agency.
    - Commercial paper and corporate bonds issued by a Canadian corporation or asset backed commercial paper issued by trusts carrying a commercial paper rating of R-1 (low) from

DBRS, and a long term debt rating of A- or higher by Standard and Poor's, DBRS or an equivalent rating agency.

- Bankers Acceptances, Certificates of Deposit, Guaranteed Investment Certificates and similar instruments issued by a Canadian or foreign bank, carrying an issuer/commercial paper rating of R-1 (low) and a long term debt rating of A- or higher by Standard and Poor's, DBRS or an equivalent rating agency.
- Pooled funds investing in the above noted securities.

(2) Bonds:

- i. Permitted fixed income investments are required to be investment-grade bonds as rated by Standard and Poor's, DBRS or an equivalent rating agency including:
  - Government of Canada treasury bills, bonds, stripped coupons and residuals and NHA guaranteed mortgage backed securities as well as any other debt obligations unconditionally guaranteed by the federal government of Canada.
  - Provincial and municipal treasury bills, notes, floating rate notes, bonds, stripped coupons, debentures, and any obligations unconditionally guaranteed by the provincial and municipal governments of Canada.
  - Bonds, notes, floating rate notes, certificates of deposit, guaranteed investment certificates, bankers' acceptances, and similar instruments issued by a Canadian bank.
  - Bonds, debentures, notes, floating rate notes and commercial paper issued by a Canadian corporation.
  - Pooled funds investing in the above noted securities.
- ii. Maturities:
  - Maximum term to maturity of any instrument is three years.
  - The average term to maturity is two years.
- iii. Quantity requirements. The bond portfolio may be invested to a maximum market value of:
  - 100% in Federal government bonds and guaranteed Federal agency bonds;
  - 60% in provincial bonds and guaranteed provincial agency bonds, subject to a single province maximum of 15% for provinces rated AA- or higher, and 10% for provinces rated less than AA-;
  - 10% in municipal bonds; and
  - 50% in corporate issues and other bonds.

If at any time an investment or group of investments does not conform to the limitations provided herein, the Manager, in consultation with the University, shall use its best judgement as to the action required to correct the situation. If it appears that the situation shall be corrected within a reasonably short period of time, the Manager, with the approval of the Vice-President (Finance and Administration) or the Assistant Vice-President (Financial Services), may elect not to liquidate the temporarily non-conforming investments.

The Committee may direct a Manager to deviate from the investment guidelines of the Statement with respect to a portion of the Fund. Such direction shall be in writing and shall specify the value of the assets to be invested and how those assets are to be invested. Unless instructed otherwise by the Committee in

the written direction, each Manager shall invest the remaining portion of the Fund according to the normal investment guidelines of the Statement as if the assets subject to the special instructions were not part of the Fund.

To the extent that the Committee invests all or part of the Fund in a Manager's pooled funds or private investment funds, the foregoing investment constraints, and any other provisions of the Statement that may be affected, shall not apply, but the Manager shall be governed by the Manager's own investment policy for the pooled funds or private investment funds. The Manager shall provide such policy to the Committee and shall inform the Committee when and how the guidelines of the pooled funds or private investment funds differ from the guidelines of the Statement.

In special cases of an operational and/or immaterial nature, University Administration may deviate from policy guidelines. The approval of the Assistant Vice-President (Financial Services) or the Vice-President (Finance and Administration) is required for each situation before the transaction is made. Any such action will be reported in a timely fashion in between meetings to the Investment Committee.

**Investment Managers:**

The maximum investment (including equity and fixed income investments) with any one external manager, or with one financial institution, will be \$250,000,000.

Appendix A lists approved Financial Institutions / Investment Managers. Appendix A may be amended from time to time at the sole discretion of Carleton University.

Carleton University will manage the funds and rebalance if the market value of investments held by any one manager exceeds the maximum investment by more than 3%. Notwithstanding, Carleton University maintains the right to rebalance, at any time and in any amount, in its absolute discretion.

**Governance:**

**Investment Committee:**

The Investment Committee recommends the composition of the equity and fixed income investments to the Board of Governors and formally approves investment guidelines and restrictions noted in this Policy.

**University Administration:**

Day-to-day management of the cash balances, within the Policy parameters, lies with Financial Services. Any deviations from the approved Policy asset mix ranges must be approved by the Assistant Vice-President (Financial Services) or the Vice-President (Finance and Administration).

**Monitoring and control:**

To achieve its rate of return objectives the Committee shall recommend the appointment of Managers. The Managers will be assigned such mandates and benchmarks as the Committee deems to be in the best interests of the Fund. The Committee shall monitor the Managers both qualitatively and quantitatively. The Managers and their Benchmarks are shown in Appendix A.

All rates of returns shall be measured before investment management fees, but after transaction costs, and over rolling four-year periods.

**Investment reporting:**

At least monthly, the Investment Manager(s) shall submit reports on investment holdings and performance. At least quarterly, the Investment Manager(s) shall submit reports on actual investment strategy employed since the previous reports. In addition, Investment Manager(s) shall include a statement on the investment strategy to be employed in the next period in view of the existing or anticipated economic and investment market conditions.

Investment Managers shall report in person annually, or at the discretion of the Investment Committee, in review of investment management strategies and performance.

The University will report on the makeup and status of the fund, including performance against the benchmark, at each meeting of the Investment Committee.

**Compliance reporting by investment manager:**

The investment manager(s) must submit a compliance report on a semi-annually basis to the University. The compliance report should indicate whether the manager's portfolio complied with this policy during the previous six months.

In the event that the investment manager's portfolio is not in compliance with this policy, the investment manager is required to notify Carleton University, detail the nature of the non-compliance, specify whether any losses arose from non-compliance, and to implement an appropriate course of action to remedy the situation, as soon as practical.

**Standard of professional conduct:**

The investment manager(s) are expected to comply at all times and in all respects with the Code of Ethics and Standards of Professional Conduct of the CFA Institute.

The investment manager(s) will manage the assets with the care, diligence and skill that an investment manager of ordinary prudence would use. The investment manager(s) will also use all relevant knowledge and skill that they possess, or ought to possess, as prudent investment managers.

**Conflict of interest guidelines:**

For the purpose of this Policy, any known or perceived conflict of interest of the Investment Manager(s), custodian or party to a decision must be reported to Carleton University within five working days.

**Investment income allocation:**

Investment income earned on all expendable funds accrues to the investment income account of the operating fund to supplement current operating and capital requirements.

At April 30<sup>th</sup> each year the total investment returns will be compared to budget, with any excess being appropriated to an investment income fluctuation reserve, and any deficiency being transferred from the reserve. The status of the reserve will be reviewed by the Investment Committee annually with a view making any ad hoc adjustments deemed to be appropriate.

**Contacts:**

Vice-President, Finance and Administration  
Assistant Vice-President (Financial Services)  
University Secretary

**Links to related Policies:**

[Statement of Investment Policies and Procedures for the Trust Fund created under the Carleton University Retirement Plan - SIPP](#)

**Attachments:**

Appendix A: Approved Investment Managers / Financial Institutions and their Benchmarks

## Appendix A

### List of Approved Investment Managers / Financial Institutions and Benchmarks

<b>Manager</b>	<b>Investment Account</b>	<b>Benchmark</b>
Scotia Institutional Asset Management	Scotia Money Market Fund	FTSE TMX Canada 60 day T-Bill Index
TD Asset Management	Short Term Bond-Separately Managed Account	40% FTSE Canada Short Term Overall Bond Index and 60% FTSE Canada 365 Day T-Bill Index
RBC Global Asset Management PH&N Institutional	PH&N Short Term Bond and Mortgage Fund	FTSE TMX Short Term Overall Bond Index
RBC Global Asset Management PH&N Institutional	PH&N Canadian Equity Pension Trust	S&P/TSX Capped Composite Index
MFS Investment Management Canada Limited	MFS Global Equity Fund	MSCI World ex Canada

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 10/29/2020
<b>From:</b>	Building Program Committee	<b>Date of Meeting:</b> 12/01/2020
<b>Subject:</b>	<b>Open Space Master Plan</b>	
<b>Responsible</b>	Finance and Administration	
<b>Portfolio:</b>		

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

That this report be received for information.

### 3.0 EXECUTIVE SUMMARY

Carleton University has commissioned a campus Outdoor Space Master Plan (the OSMP) to promote the university's extraordinary landscape setting as a catalyst for learning and sustainability as it prioritizes regenerative campus design goals. Over the past sixty years the university has expanded to almost fifty buildings which will have an opportunity to be better physically and visually connected through the performance standards and design guidelines contained in the OSMP. The Carleton University OSMP is a guide for campus open space revitalization, as it aspires to high standards towards establishing contemporary and innovative design practices. As new building, open space, transportation and transit projects are undertaken, the OSMP will direct future development on campus towards an integrated campus vision that balances usability with performance, and cost effectiveness with sequestered carbon and net zero design goals.

### 4.0 INPUT FROM OTHER SOURCES

Four types of Engagement Tools were utilized throughout the project. The Project Team held:

- Pop-up Campus Community Consultations;
- User Group Meetings,
- Community Open Houses, and
- an Online Survey.

More than 200 people directly participated in the consultation activities, and many more were reached with the OSMP public messaging.

Consultation with members of Carleton's Indigenous community took place throughout the OSMP Process. These consultation events included workshops with the Carleton University Indigenous Strategic Initiatives Committee in the first phase of the consultation, and multiple meetings with the Carleton University Indigenous Education Council in the second and third phases. The Outdoor Space Master Plan, and specifically, the design for the Indigenous Learning Place (ILP), also rely on consultation previously undertaken in 2016 by Carleton faculty, staff and students. This consultation, which was focused on the creation of an Indigenous Learning Place at the Paterson Amphitheatre included members of the Indigenous community at Carleton, as well as members of the Algonguquin communities of Pikwakanagan, Kitigan Zibi, and the Tungasuvvingat, Inuit.

**5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

The Strategic Integrated Plan proposes three key themes tied metaphorically to the Rideau Canal, the surrounding community, the Rideau River, described as:

- Share Knowledge. Shape the Future
- Serve Ottawa. Serve the World
- Strive for Wellness. Strive for Sustainability.

Each theme includes specific goals and pathways to help achieve these goals. The pathways relating to the OSMP include:

- Strengthening the university’s physical and reputational presence within Ottawa
- Building and promoting programming, infrastructure projects and spaces that embrace a commitment to social, physical, cultural and environmental wellness
- Deeply embedding sustainability considerations into research, teaching, learning and organizational operations
- Learning from and alongside Indigenous peoples as we deepen our understanding of the land and adapting to a changing environment
- Embedding a culture of accessibility in organizational excellence, programming and services

The presentation attached provides an overview of the OSMP. The full Plan is available by accessing the following link [https://carleton.ca/fmp/wp-content/uploads/Carleton-OSMP\\_FINAL-2020-10-23.pdf](https://carleton.ca/fmp/wp-content/uploads/Carleton-OSMP_FINAL-2020-10-23.pdf)

**6.0 FINANCIAL IMPLICATIONS**

The plan contemplates several demonstration projects with funding to be incorporated into the university’s planning and budgeting process.

**7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT**

This report is for information only at this time. As projects move forward, risks will be identified and mitigated, including risks associated with the implementation and development of the campus. As with any report that is publicly available, a reputational risk exists, particularly should the report not reflect community aspirations and/or the objectives described in the report are not ultimately achieved.

**8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY**

Demonstrating leadership in sustainable development of our campus is an integral part of the university’s Strategic Integrated Plan which serves to enhance Carleton’s reputational profile. As the plan is implemented, FMP will review the associated risks, legal and compliance issues and reputational implications and communications strategy with DUC and other stakeholders

**9.0 OVERALL RISK MANAGEMENT ANALYSIS**

	LOW	MINOR	MODERATE	SERIOUS	VERY SERIOUS
STRATEGIC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



# Carleton University Outdoor Space Master Plan



- 
- 1 / Territory Acknowledgement
  - 2 / About the Project
  - 3 / Guiding Principles
  - 4 / Landscape Design Guidelines
  - 5 / Landscape Character Areas
  - 6 / Key Places
  - 7 / Implementation

# **Territory Acknowledgement**

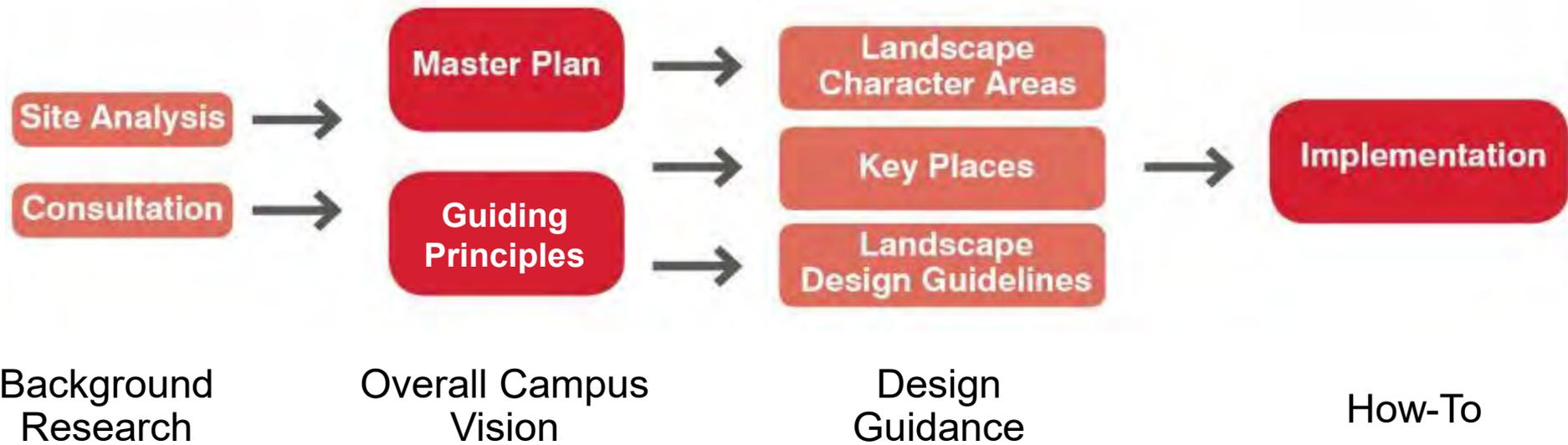
Carleton University is located within the traditional and unceded territory of the Algonquin Nation.

The Outdoor Space Master Plan committee acknowledges and honours the people who have lived on this land for thousands of years. We aim to make Territory Acknowledgement a clear and consistent goal of the OSMP process.

# About the Project: Goals Timeline



# Document Structure



# Consultation Process

- Pop-Up Sessions
- Open House
- User Group Meetings
- Email Address
- Online Survey
- Indigenous Consultation – IEC and CUISIC Meetings
- Design Workshop with Faculty of Architecture students



# What We Heard

Currently there are few opportunities for outdoor learning on campus.

Being surrounded by the river, canal, and green spaces makes the Carleton campus unique.

The Library Quad should be a year-round destination space.

More spaces for sitting and for eating please, especially along the riverfront.

Indigenous perspectives should be included in the design of outdoor spaces, signage, art and other elements. To do this respectfully, consultation is needed.

The campus is difficult to navigate, and sometimes inaccessible.

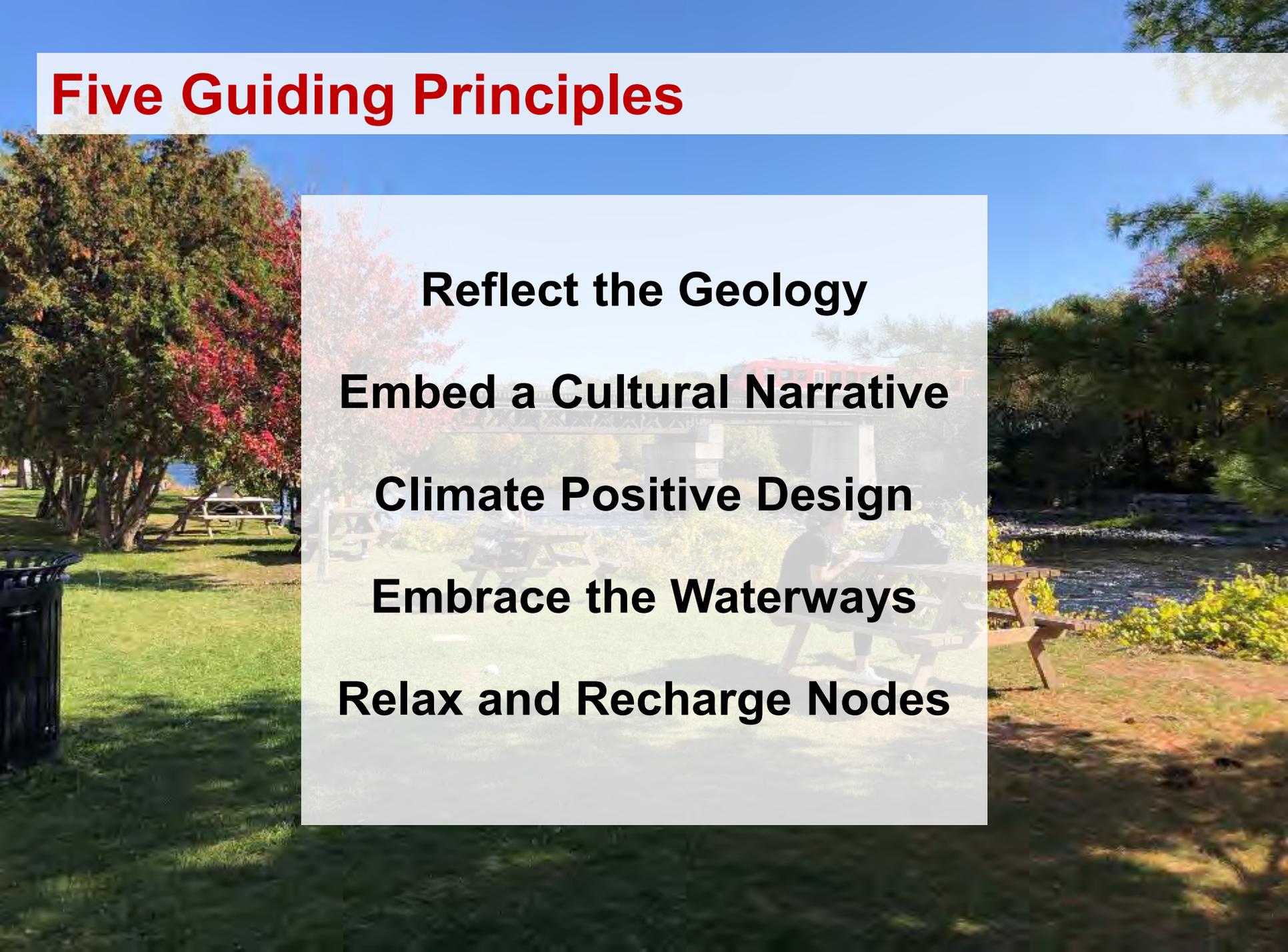
Alumni park and the architecture courtyard need improvements.

Outdoor spaces on campus should be welcoming and accessible.

# Guiding Documents



# Five Guiding Principles

The background of the slide is a photograph of a park-like setting. On the left, there are several trees with vibrant autumn foliage in shades of red, orange, and yellow. In the center, a wooden picnic table is visible, with a person sitting at it. To the right, a river flows through a wooded area with more trees. The sky is clear and blue. The overall scene is bright and sunny, suggesting a pleasant outdoor environment.

**Reflect the Geology**

**Embed a Cultural Narrative**

**Climate Positive Design**

**Embrace the Waterways**

**Relax and Recharge Nodes**

# Reflect the Geology

- Paving patterns and colour palettes that speak to the fault line and geological makeup of the campus
- Using locally quarried natural stone for paving, walls and other site features



# Embed a Cultural Narrative

- Using Algonquin and other Indigenous language and storytelling in signs, furnishings, informational markers, and other site elements
- Creating gardens that include traditional medicines and provide information on their significance
- Spaces for ceremony, gathering, and outdoor learning
- Providing opportunities for public art and statues as ways of showcasing Indigenous artists



# Climate Positive Design

- Converting areas of unused lawn and concrete to tree, shrub and perennial planting
- Substituting asphalt and concrete with stabilized crushed stone paving where appropriate
- Using wood instead of concrete for seating elements
- Providing a tree replacement ratio and enhancing the existing tree canopy
- Re-using and recycling site construction materials



# Embrace the Waterfront

- Enhancing and protecting views to the waterways from outdoor spaces on campus
- Emphasizing existing connections and developing new pathways to the River and Canal
- Prioritizing low impact stormwater management methods such as rain gardens and bioswales for stormwater
- Including naturalized planting that draws inspiration from the riparian edge of the Rideau River



# Rest and Recharge Nodes

- Densely planted native trees and shrubs to create a sheltered, forest-like environment in which to experience rejuvenating benefits to the mind, body and spirit
- Comfortable seating that encourages relaxation and a focus on trees, plants, birds and insects



# The Master Plan

## Key Projects

- (A) Campus Avenue Quad
- (B) Main Quad Improvements
- (C) Indigenous Learning Place
- (D) Alumni Park Improvements
- (E) Rideau River
- (F) University Drive Gateway

## Landscape Character Areas

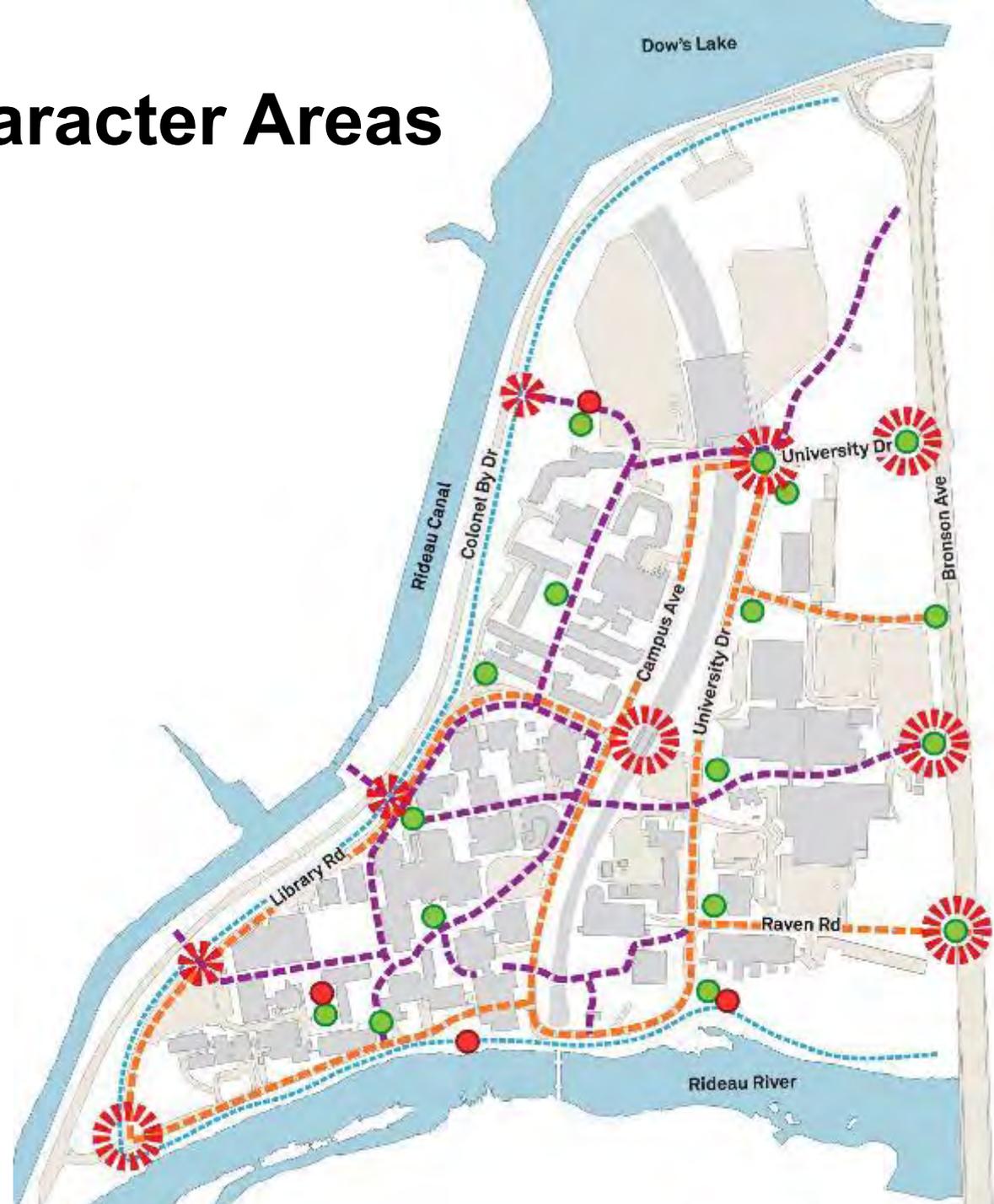
- Streetscapes
- Major Pathways
- River Path



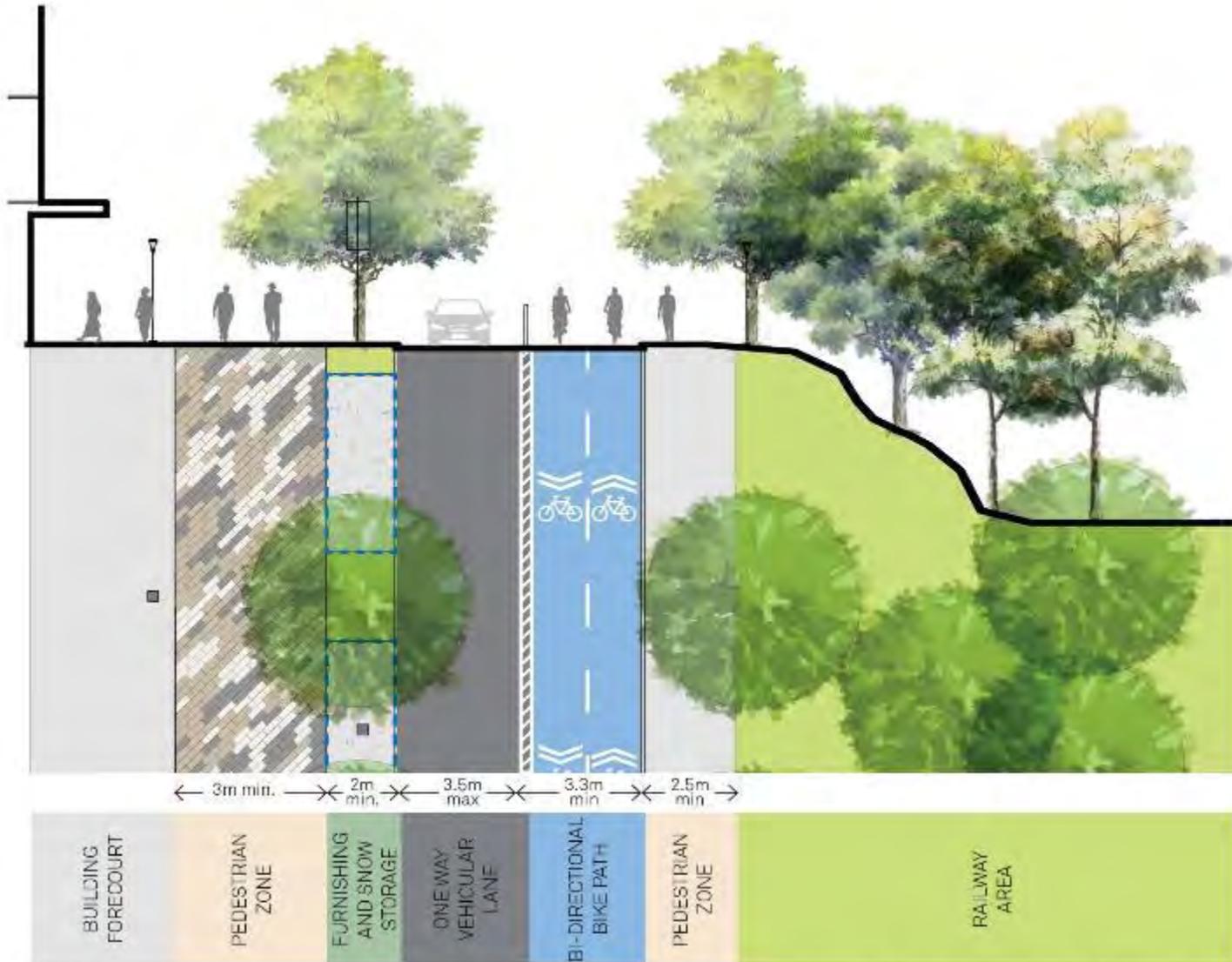
# Landscape Character Areas

## Legend

- Streetscapes
- Major Pathways
- River Path
- Naturalized Planting Areas
- Fire Circles
- Major Gateways
- Minor Gateways

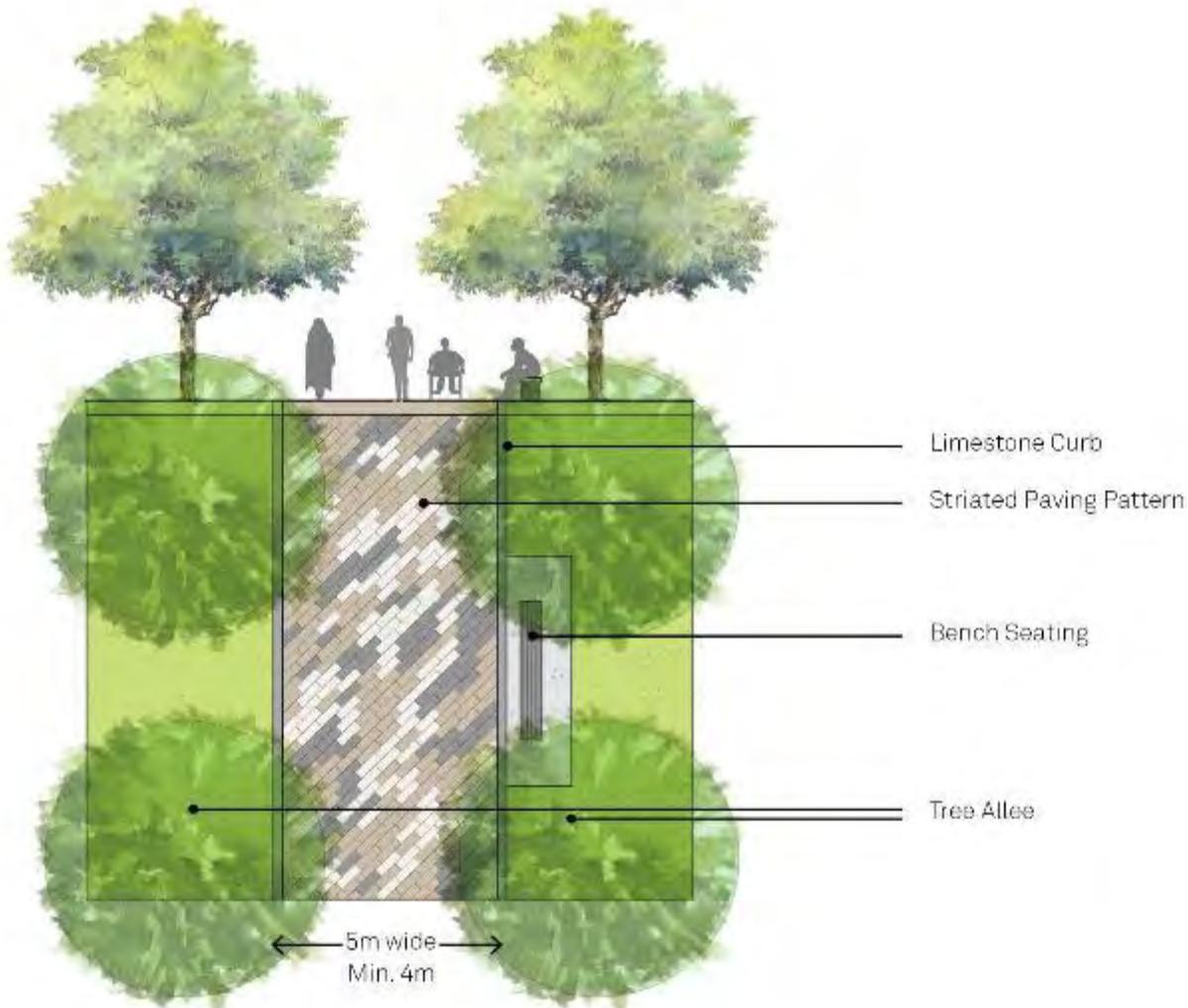


# Character Areas – Streetscapes Example



Campus Avenue - Medium Term Scenario using existing curbs and stormwater infrastructure

# Character Areas – Pathways Example



# Key Places

## Key Projects

- (A) Campus Avenue Quad
- (B) Main Quad Improvements
- (C) Indigenous Learning Place
- (D) Alumni Park Improvements
- (E) Rideau River
- (F) University Drive Gateway

## Landscape Character Areas

- Streetscapes
- Major Pathways
- River Path



# Key Places A – Campus Avenue Quad



1. Sloped Green
2. Seating Platforms
3. Flexible Gathering Area
4. Stage
5. Naturalized Planting Bed and Bioswale
6. Accessible Parking
7. Entry Bosque
8. Emergency Vehicle Access
9. Pick-Up/Drop-Off Parking
10. Food Truck Area
11. Mast Lighting
12. Access Control Signage

Campus Avenue Quad, Concept Plan

0 m 5 m 10 m 20 m



# Key Places A– Campus Avenue Quad



# Key Places A– Campus Avenue Quad

## Campus Avenue Quad

Preliminary Order of Magnitude Costing  
Prepared By: Brack Melroy Inc.  
October 12, 2020

ITEM	EST. QTY.	UNIT	UNIT Cost	Total
<b>Site Preparation</b>				
Site Hoarding and Tree Protection	280	m	\$25	\$6,500
Removals	3900	sq m	\$15	\$58,200
Rough Grading and Fine Grading	3900	sq m	\$10	\$39,000
<b>Hard Landscaping</b>				
Precast Concrete Unit Pavers on Concrete Base	970	sq m	\$300	\$291,000
Precast Concrete Unit Pavers on Granular Base	1420	sq m	\$220	\$312,400
Concrete Paving (Vehicular)	185	sq m	\$110	\$20,350
Concrete Curb	425	m	\$130	\$55,250
Concrete Beat Wall	115	m	\$1,200	\$138,000
<b>Soft Landscaping</b>				
Turf	220	sq m	\$10	\$2,200
Trees (70mm cal.)	21	each	\$800	\$16,800
Trees (70mm cal.) in Soil Cell w/30cu.m. soil/tree	13	each	\$25,000	\$325,000
Planting Bed (Shrubs, Perennials, Soil and Mulch)	80	sq m	\$130	\$11,400
Bioswale Planting Bed	105	sq m	\$150	\$15,750
Bioswale Soil Media	105	sq m	\$120	\$12,600
<b>Site Furnishings</b>				
Bench (Mounted to Concrete Wall)	10	each	\$1,200	\$12,000
Platform Seating	80	sq m	\$1,000	\$80,000
Café Seating (one table and two chairs, Unmounted)	10	each	\$2,000	\$20,000
Bollards	15	each	\$1,500	\$22,500
Bike Parking	1	estimate	\$15,000	\$15,000
<b>Miscellaneous</b>				
Stage	1	estimate	\$350,000	\$350,000
Detectable Warning Surfaces	1	estimate	\$5,000	\$5,000
Signage	1	estimate	\$70,000	\$70,000
<b>Site Servicing</b>				
Electrical Site Servicing	1	estimate	\$40,000	\$40,000
Mast Lighting	3	each	\$15,000	\$45,000
Mast Lighting Fixtures	3	each	\$2,500	\$7,500
Lighting (additional to masts)	1	estimate	\$50,000	\$50,000
SWM Infrastructure	1	estimate	\$120,000	\$120,000
Sub-total				\$2,139,050
Soft Cost - 15%				\$320,858
Mobilization/Demobilization - 5%				\$106,953
Contractor Overhead, Markup and Bonding - 15%				\$320,858
Contingency - 20%				\$427,810
<b>TOTAL (excluding HST)</b>				<b>\$3,315,528</b>

### Notes

\* Taxes not included

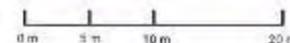
\*\* Excludes layby and improvements to Campus Avenue

# Key Places B– Main Quad



1. Limestone Curb and Seat-Wall
2. Ramped Access
3. Crushed Granite and Concrete Walkways
4. Seating Lawn
5. Naturalized Planting Area and Bioswale
6. Sculpture Area
7. Lounge Chairs
8. Cultural Markers
9. Event Area
10. New ramp to lower level

Main Quad, Concept Plan



# Key Places B – Main Quad



# Key Places B – Main Quad

## Main Quad

Preliminary Order of Magnitude Costing

Prepared By: Brook Molloy Inc.

October 12, 2020

ITEM	EST. QTY	Unit	Unit Cost	Total
<b>Site Preparation</b>				
Site Hoarding and Tree Protection	480	m	\$25	\$12,000
Removals	4450	sq m	\$15	\$66,750
Rough Grading and Fine Grading	4450	sq m	\$10	\$44,500
<b>Hard Landscaping</b>				
Precast Concrete Unit Pavers (Pedestrian)	1480	sq m	\$220	\$327,600
Concrete Paving (Pedestrian)	1150	sq m	\$110	\$126,500
Limestone Curb	80	m	\$200	\$12,000
Concrete Seat Wall, 450 mm	120	m	\$1,200	\$144,000
Concrete Seat Wall, Sloped	120	m	\$600	\$96,000
Limestone Coping on Concrete Seat Wall	96	sq m	\$350	\$33,600
Limestone Cladding on Concrete Seat Wall	91	face sq m	\$2,000	\$182,000
New Stairs, Ramps, and Railings	3	estimate	\$12,000	\$36,000
Retaining Wall at Ramp Edges (2m each side)	4	per ramp	\$1,000	\$4,000
<b>Soft Landscaping</b>				
Turf	1,715	sq m	\$10	\$17,150
Trees (70mm cal.)	12	each	\$600	\$9,600
Planting Bed (Shrubs, Perennials, Soil and Mulch)	200	sq m	\$190	\$38,000
Bioswale Planting Bed	120	sq m	\$150	\$18,000
Bioswale Soil Media	120	sq m	\$120	\$14,400
<b>Site Furnishings</b>				
Bench (Mounted to Concrete Wall)	10	each	\$1,200	\$12,000
18 ft Picnic Table - including concrete base	3	each	\$18,000	\$54,000
6 ft Picnic Table	5	each	\$8,000	\$40,000
Lounge Chair	3	each	\$2,000	\$6,000
<b>Site Servicing</b>				
Hydronic Snow Melt System	1,150	sq m	\$300	\$345,000
Electrical Site Servicing	1	estimate	\$25,000	\$25,000
Mechanical	1	estimate	\$40,000	\$40,000
Lighting	1	estimate	\$60,000	\$60,000
SWM Infrastructure	1	estimate	\$200,000	\$200,000
Sub-total				<b>\$1,964,300</b>
Soft Cost - 15%				<b>\$226,988</b>
Mobilization/Demobilization - 5%				<b>\$98,215</b>
Contractor Overhead, Markup and Bonding - 15%				<b>\$294,645</b>
Contingency - 20%				<b>\$392,860</b>
<b>TOTAL (excluding HST)</b>				<b>\$2,977,008</b>

## Notes

\* taxes not included

\*does not include new ramps on south side of quad

# Key Places C – Indigenous Learning Place



Indigenous Learning Place, Concept Plan

1. Accessible Ramp
2. Water Feature
3. Medicine Gardens
4. Fire Circle
5. Canopy and Seating
6. Enclosed Lodge
7. Mural
8. Refurbished Seating

0m 5m 10m 20m

# Key Places C – Indigenous Learning Place



# Key Places C – Indigenous Learning Place

## Indigenous Learning Place

Preliminary Order of Magnitude Costing

Prepared by: Brook Melroy Inc.

October 12, 2020

ITEM	EST. QTY	Unit	Unit Cost	Total
<b>Site Preparation</b>				
Site Hoarding and Tree Protection	400	m	\$25	\$10,000
Removals	2000	sq m	\$15	\$30,000
Rough Grading and Fine Grading	500	sq m	\$10	\$5,000
<b>Hard Landscaping</b>				
Precast Concrete Unit Pavers (Pedestrian)	565	sq m	\$220	\$122,100
Flagstone Paving	1	estimate	\$6,000	\$6,000
Limestone Curb	220	m	\$200	\$44,000
Concrete Curb	18	m	\$130	\$2,340
Concrete Retaining Wall	40	m	\$1,200	\$48,000
Concrete Stair Restoration - New Railings	1	estimate	\$50,000	\$50,000
<b>Soft Landscaping</b>				
Turf	815	sq m	\$10	\$8,150
Trees (70mm cal.)	11	each	\$800	\$8,800
Medicine Garden	40	sq m	\$250	\$10,000
Planting Bed (Shrubs, Perennials, Soil and Mulch)	205	sq m	\$190	\$38,950
<b>Site Furnishings</b>				
Log Seating	1	estimate	\$2,500	\$2,500
Custom Platform Seating (under canopy)	1	estimate	\$65,000	\$65,000
Replace Wood tops on Existing Amphitheatre Seats	1	estimate	\$15,000	\$15,000
Bike Parking	1	estimate	\$5,000	\$5,000
<b>Miscellaneous</b>				
Water Feature	1	estimate	\$120,000	\$120,000
Mural Wall	1	estimate	\$25,000	\$25,000
Fire Pit	1	estimate	\$5,000	\$5,000
Lodge	1	estimate	\$700,000	\$700,000
Amphitheatre Canopy	1	estimate	\$500,000	\$500,000
<b>Site Servicing</b>				
Electrical Site Servicing	1	estimate	\$15,000	\$15,000
Lighting	1	estimate	\$40,000	\$40,000
SWM Infrastructure	1	estimate	\$80,000	\$80,000
Sub-total				<b>\$1,955,840</b>
Soft Cost - 15%				<b>\$286,626</b>
Mobilization/Demobilization - 5%				<b>\$97,782</b>
Contractor Overhead, Markup and Bonding - 15%				<b>\$293,376</b>
Contingency - 20%				<b>\$391,168</b>
<b>TOTAL (excluding HST)</b>				<b>\$3,024,802</b>

## Notes

\* taxes not included

# Key Places D – Alumni Park Improvements



Alumni Park - Winter Concept Plan



Alumni Park - Summer Concept Plan

- |                         |                                   |                    |
|-------------------------|-----------------------------------|--------------------|
| 1. Fire Pit and Seating | 5. Mechanical & Resurfacer Garage | 9. Events Area     |
| 2. Skating Trail        | 6. Mast Lighting                  | 10. Picnic Tables  |
| 3. Skate Change Seating | 7. Rocky Outcrop                  | 11. Pergola        |
| 4. Snow Storage         | 8. Bioswale                       | 12. Raised Planter |

# Key Places D – Alumni Park Improvements



# Key Places D – Alumni Park Improvements

## Alumni Park

Preliminary Order of Magnitude Costing

Prepared By: Brook Malroy Inc.

October 12, 2023

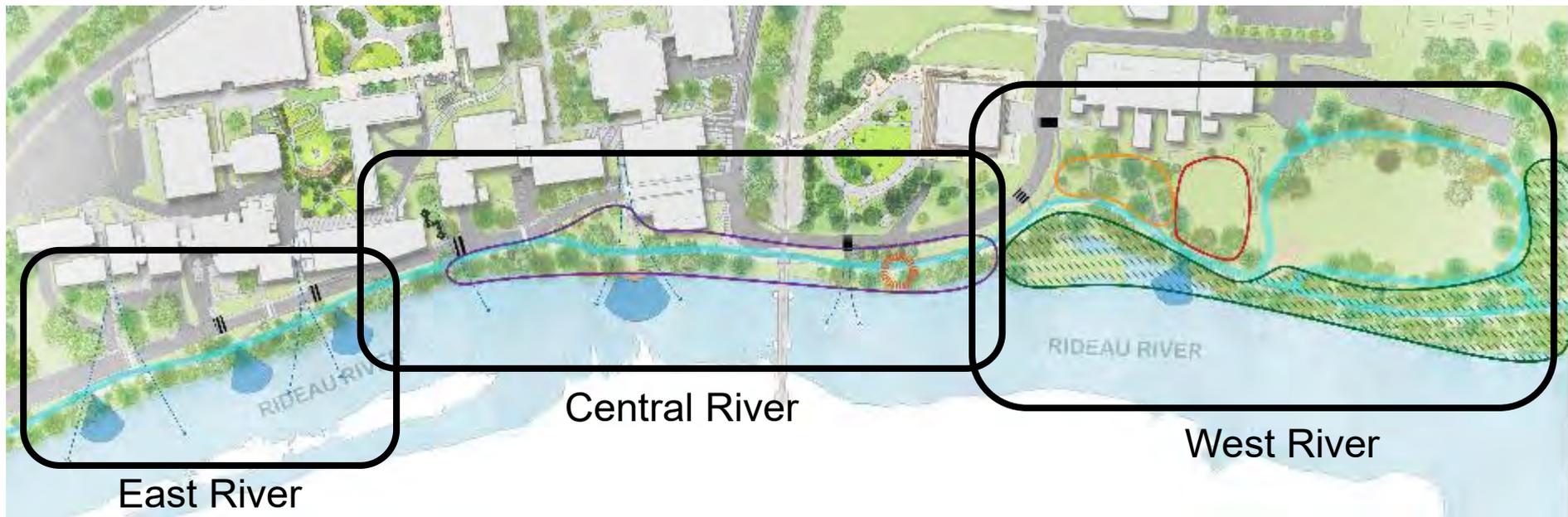
ITEM	EST. QTY.	Unit	Unit Cost	Total
<b>Site Preparation</b>				
Site Hoarding and Tree Protection Removals	700	m	\$25	\$17,500
	2150	sq m	\$15	\$32,250
Rough Grading and Fine Grading	6350	sq m	\$10	\$63,500
<b>Hard Landscaping</b>				
Concrete Paving (Pedestrian)	1500	sq m	\$110	\$165,000
Precast Concrete Unit Pavers on Concrete Base	2320	sq m	\$300	\$696,000
Crushed Granite Paving	50	sq m	\$105	\$5,250
Asphalt Paving (Vehicular)	120	sq m	\$100	\$12,000
Concrete Planter	30	m	\$500	\$15,000
<b>Soft Landscaping</b>				
Turf	2,655	sq m	\$10	\$26,550
Trees (70mm cal.) - Includes tree planting along railway	48	each	\$800	\$38,400
Planting Bed (Shrubs, Perennials, Soil and Mulch)	80	sq m	\$190	\$11,400
Biowale Planting Bed	510	sq m	\$150	\$76,500
Biowale Soil Media	510	sq m	\$120	\$61,200
<b>Site Furnishings</b>				
15 ft Picnic Table	4	each	\$18,000	\$72,000
Bench Seating	4	each	\$2,000	\$8,000
Armourstone Fire Pit Sealing	15	m	\$2,000	\$30,000
Fire Pit	1	estimate	\$15,000	\$15,000
Rocky Outcrops	10	estimate	\$150,000	\$1,500,000
<b>Miscellaneous</b>				
Pergola	1	estimate	\$200,000	\$200,000
Scale Trail Infrastructure (Chiller, Piping, Concrete Sub, Rubber Mats, Rebar/soil/Chiller Garage)	1	estimate	\$2,500,000	\$2,500,000
<b>Site Servicing</b>				
Hydronic Snow Melt System	1,100	sq m	\$300	\$330,000
Electrical Site Servicing	1	estimate	\$40,000	\$40,000
Mechanical	1	estimate	\$60,000	\$60,000
Mast Lighting	3	each	\$25,000	\$75,000
Mast Lighting Footings	3	each	\$2,500	\$7,500
Site Lighting	1	estimate	\$50,000	\$50,000
SWM Infrastructure	1	estimate	\$100,000	\$100,000
Sub-total				\$4,888,050
Soft Cost - 15%				\$733,208
Mobilization/Demobilization - 6%				\$244,403
Contractor Overhead, Markup and Bonding - 15%				\$733,208
Contingency - 20%				\$977,610
<b>TOTAL (excluding HST)</b>				<b>\$7,576,478</b>

### Notes

\* taxes not included

\* does not include northern sidewalk

# Key Places E – Rideau River

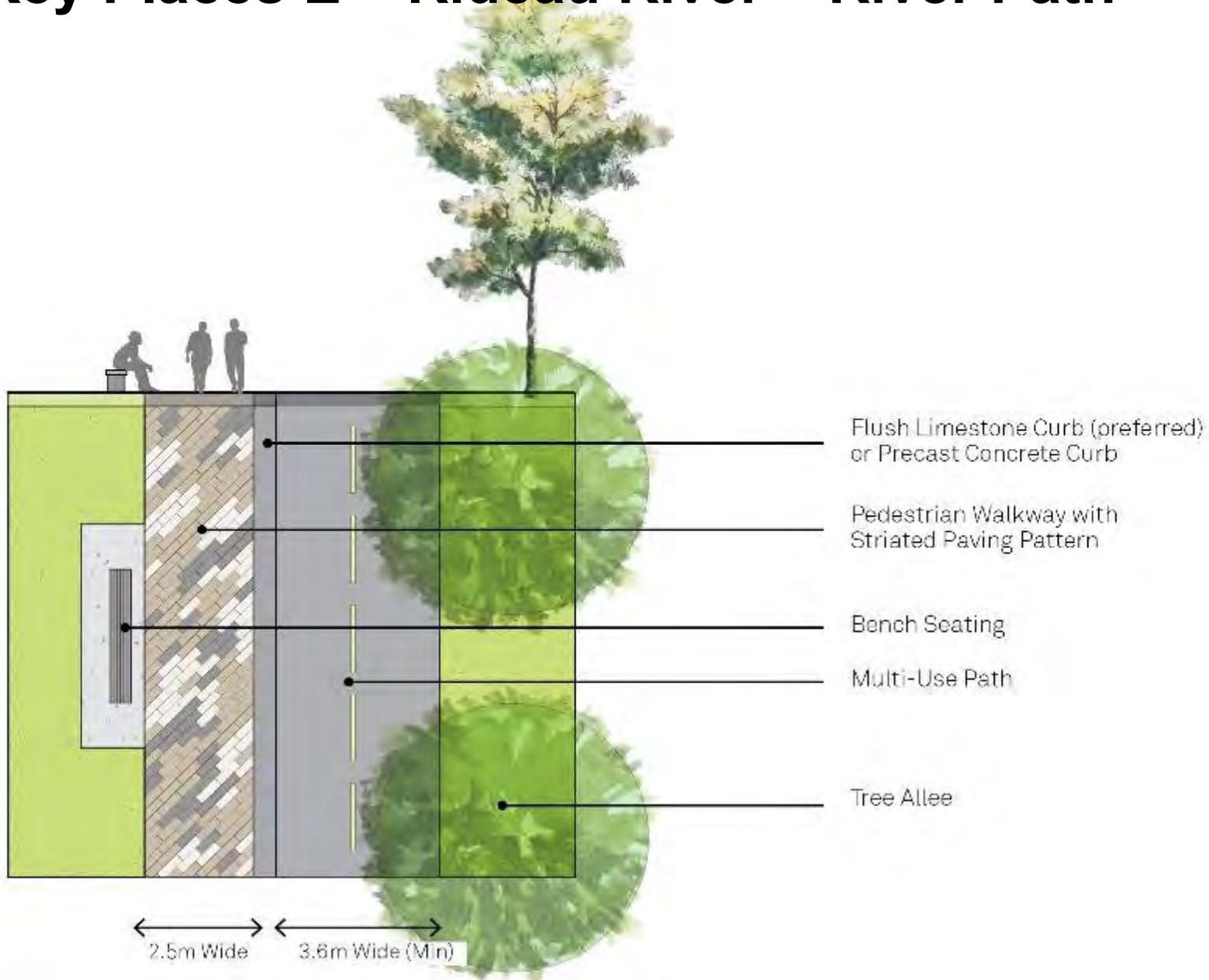


- Increased Pedestrian-Scale Lighting

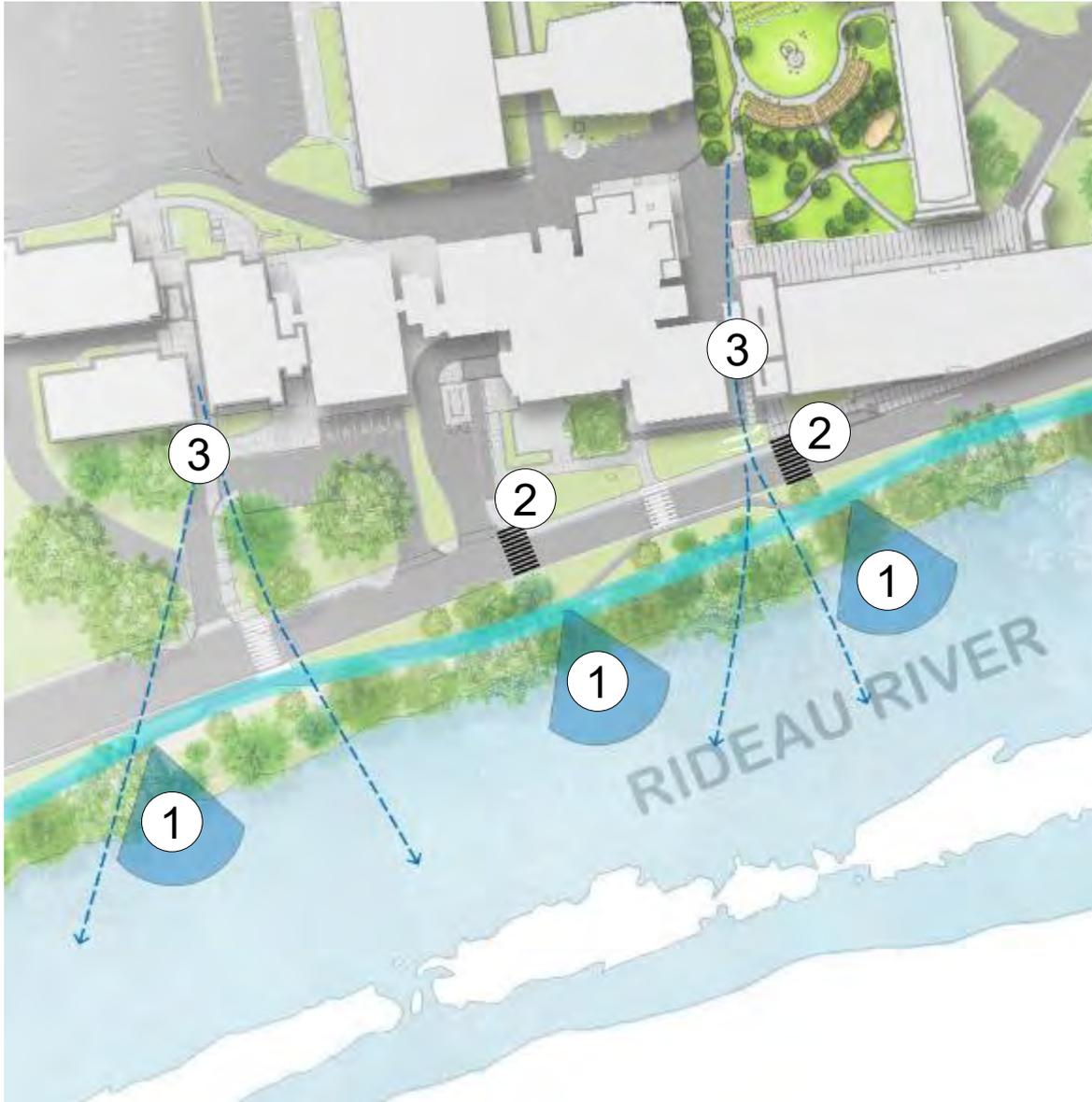
- Enhanced Tree Restoration and Habitat Creation

- Additional seating and gathering areas

# Key Places E – Rideau River – River Path

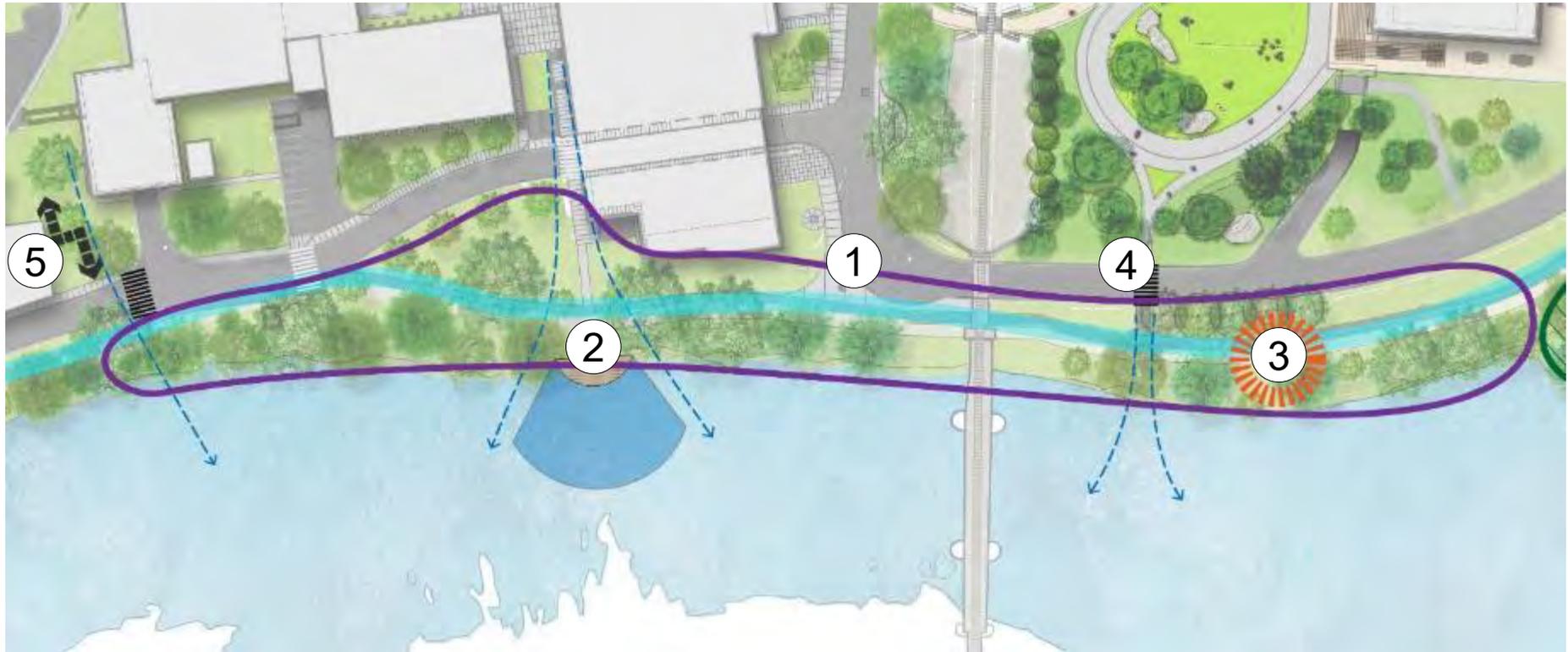


# Key Places E – Rideau River



1. Seating and Strategic Clearing for Views
2. New Pedestrian Crossings
3. Sightlines from Buildings

# Key Places E – Rideau River



1. Main Riverfront Gathering Area with enhanced Seating
2. Viewing Platform
3. Fire Pit and Seating

4. Pedestrian Crossings
5. Stairs to Main Campus

# Key Places E – Rideau River



1. Riparian Restoration and Habitat Creation

2. Existing Community Garden

3. Tree Clearing and Lighting for Enhanced Safety

4. Multi-Sport and Outdoor Education Field

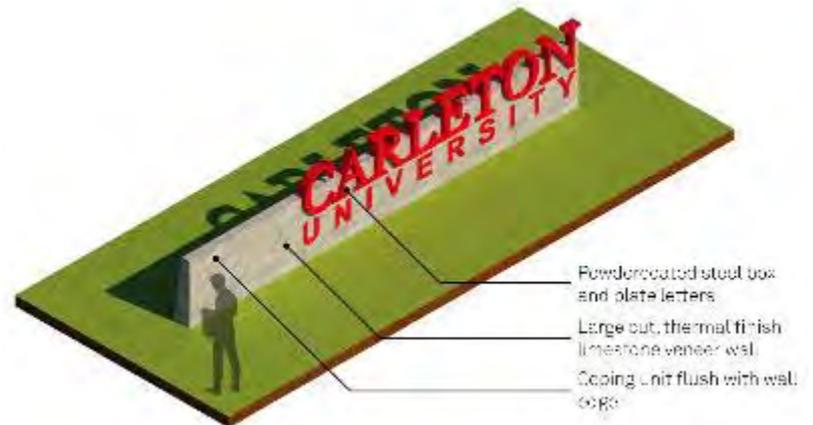
5. Granular Path

6. Seating and Strategic Clearing for Views

# Key Places F – University Drive Gateway

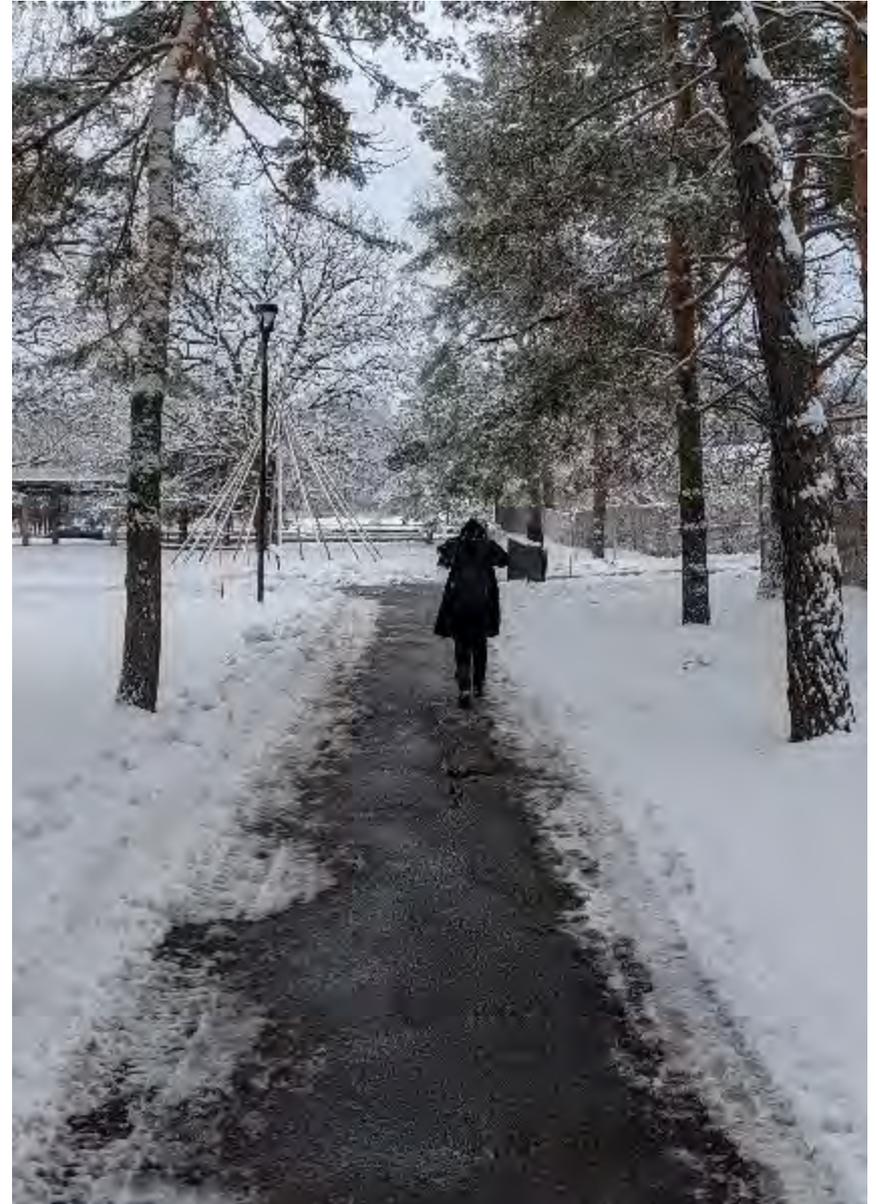


University Drive Gateway (from 2019 Transportation Plan)



# Implementation

- Operations and Maintenance
- Priorities and Phasing
- Order of Magnitude Costing



Thank you



# BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 30 October 2020
<b>From:</b>	Building Program Committee	<b>Date of Meeting:</b> 01 December 2020
<b>Subject:</b>	<b>Carleton Dominion-Chalmers Centre – Master Planning Project – Preliminary Planning Ideas and Aspirations</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

## 1.0 PURPOSE

For Approval    For Information   For Discussion

## 2.0 MOTION

This report is for information only.

## 3.0 EXECUTIVE SUMMARY

Carleton Dominion-Chalmers Centre (CDCC) is an Arts, Performance and Learning Centre managed by the Faculty of Arts & Social Sciences. The centre is dedicated to providing a welcoming, professional and safe environment to foster programming that is multi-generational, diverse, and inclusive. CDCC is the university's first downtown Ottawa building, and serves a variety of user groups from Carleton University and the community at large.

To systematically and strategically plan for the future, a decision was made to embark upon a master planning process in 2019.

Carleton initiated a competitive process for the planning and awarded the work to CS&P Architects in January of 2020. Craig Goodman and Paul Cravit are the lead architects on the project. They have researched the building, the local area, have conducted multiple small group consultations with university and community stakeholders, and hosted a community-wide presentation on September 30, 2020.

The November 17, 2020 CDCC Master Plans Presentation for the Building Program Committee aims to witness the aspirational views currently in place, and to gather preliminary reflections and feedback.

In months to come, Carleton will be working with CS&P Architects on a final wrap-up package outlining proposed business planning reflections, renovation phases, and budgets – and this will be CDCC's springboard to launch in to the next stages of development in strategic planning, capacity building, fundraising, community engagement, and beyond.

## 4.0 INPUT FROM OTHER SOURCES

A preliminary design slide deck prepared by CS&P Architects to be reviewed, including:

- Existing Site Merits
- Existing Site Challenges
- Precedents & Program Opportunities
- Preliminary Design Concepts

## 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Carleton Dominion-Chalmers Centre has just completed its first full academic year as the university's most recent building acquisition. At this preliminary stage, CDCC is working to standardize and regulate operations with main campus - the master planning process and capital planning for the future plays a vital role in this process.

Additionally, CDCC is glad to be aligning programming with the recently launched Carleton University Strategic Integrated Plan, including initiatives such as:

### Share Knowledge, Shape the Future

Focusing on Pedagogy, Research, and Technology.

- Funding has just been finalized to support a brand new research centre in the building for Music, Sound, and Society in Canada.
- CDCC has invested in a new live streaming base equipment package, and you will be seeing a high tech Audio/Visual Lab and Recording Studio that is to be networked throughout the building in the master plan.
- There are professional teaching, practice, and performing spaces being made available for Carleton music and drama students and other curricular programming.

### Serve Ottawa, Serve the World

Focusing on Community Engagement and Community Impact.

- During the first full academic year, CDCC was the venue for hundreds of events hosted by university and community user groups – including many meaningful university and community collaborations. These events brought in over 85,000 guests over a ten-month period starting May 1, 2019 until COVID shut-down in March. Community engagement and impact thrives in the centre.
- A formal announcement is being made in November 2020 for a Carleton Music & Ottawa Symphony Orchestra collaboration that supports intergenerational experiential learning, public performances, and community engagement.

### Strive for Wellness, Strive for Sustainability

Focusing on Accessibility and Equitability.

- CDCC is a 1912 heritage building with many challenges surrounding physical accessibility with strangely placed staircases, orphaned rooms, and beyond - which is to be addressed through capital renovations.
- As a downtown campus facility, there is a unique access opportunity for those who describe not being able to navigate as easily to main campus, alongside proximity to parliament, other cultural facilities, and embassies.
- There are various live streaming and advanced technology goals where CDCC is able to help groups reach audiences who may require accommodations, be in sustained isolation or in other locations around the globe.
- In support of EDI initiatives, CDCC is fostering and supporting programming such as CUAG's Carleton Music and the Community collaborative project to create musical responses to queer art and deaf art exhibitions; and CDCC plans to continue being a very active event facility for Black History month initiatives as started in 2019.
- There is much important support and work needed in the building and its programming surrounding reconciliation with indigenous communities. There are inherent challenges for CDCC being a former church and still having ties to the united church as a tenant in the building.

## **6.0 FINANCIAL IMPLICATIONS**

There are no financial implications for the November 17, 2020 presentation. Business planning and cost estimates for the plan are under development by the consulting team.

### Future considerations

CDCC will be investigating municipal, provincial and federal capital programs, aiming to collaborate with local non-profit organizations who have access to arts funding that the university may not, and is currently working with Carleton Advancement team to look at individual giving, naming opportunities and corporate sponsorships.

## **7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT**

There are no immediate risk, legal, or compliance threats for the November 17, 2020 presentation.

### Future considerations

#### Phase 1 – Renovations to the Existing Structures:

CDCC is a historical heritage building which requires renovations to the property to go through a legal process to obtain approval. Considerable consultation with and approval will be required from the City of Ottawa prior to any renovation projects, particularly on the exterior façade/envelope. CDCC has an ongoing relationship with its tenant the Dominion-Chalmers United Church who will require special attention in contract and relocation negotiations.

#### Phase 2 – Development of the Existing Parking Lot:

Development of the parking lot will require extensive planning, consultation with and ultimately approval by the City of Ottawa to comply with all mandated development guidelines (ie. City of Ottawa requirements related to density in new residential developments in Centretown and heritage overlay rules). For both phase 1 and phase 2, in addition to the architects, Carleton will have to work with external counsel and planners to navigate the legal requirements to consult and ultimately obtain approval to renovate and develop the property. Developing the parking lot for purpose outlined would limit the options for alternative developments or divestment of the property in the future.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

CDCC is a coveted Ottawa venue that has served a church congregation and local arts community for many years. Members of the community have expressed trepidation surrounding any forthcoming changes or renovations that may happen to the building and property. It is important to maintain open dialogue with not only university stakeholders, but the united church and community stakeholders when “visible” capital improvement projects are underway. The united church and community have described being overall satisfied with the communications and outreach opportunities provided to date.

Broad strategic communications objectives currently include:

Provide professional standard of customer experience.

Operational	Communications
Train centre staff to provide excellent customer service experience for all guests	Ensure staff know the standards of care
Receive ongoing feedback for improvement	Provide online/website platforms for members of staff and the community to provide ongoing feedback

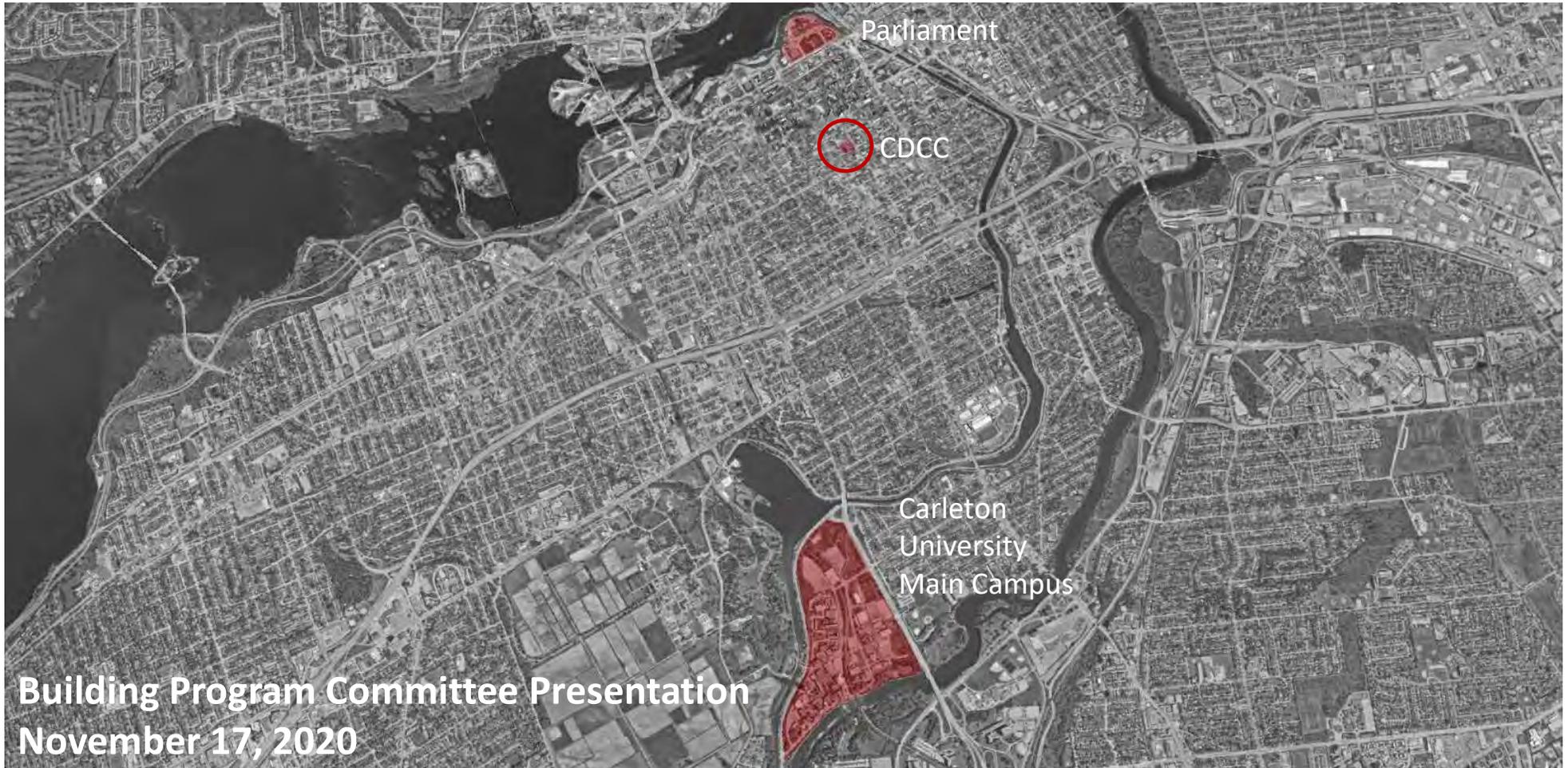
Become a recognizable and valued hub in the community.

Operational	Communications
Build strong relationships with local stakeholders and funders	Provide regular flow of information through website, social media, Carleton newsroom stories, and “community dialogue” emailed news updates. Create donor engagement and reporting opportunities for the university’s Department of Advancement through regular building updates.
Advocate and represent university and community user group activities	Promote the university and community activities and accomplishment through various communication tools (including news stories, social media, outreach events, etc).

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS (\*related to November 17, 2020 Presentation)

	VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
STRATEGIC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# CARLETON DOMINION-CHALMERS CENTRE



Building Program Committee Presentation  
November 17, 2020

# 1. A Site with Great Possibilities

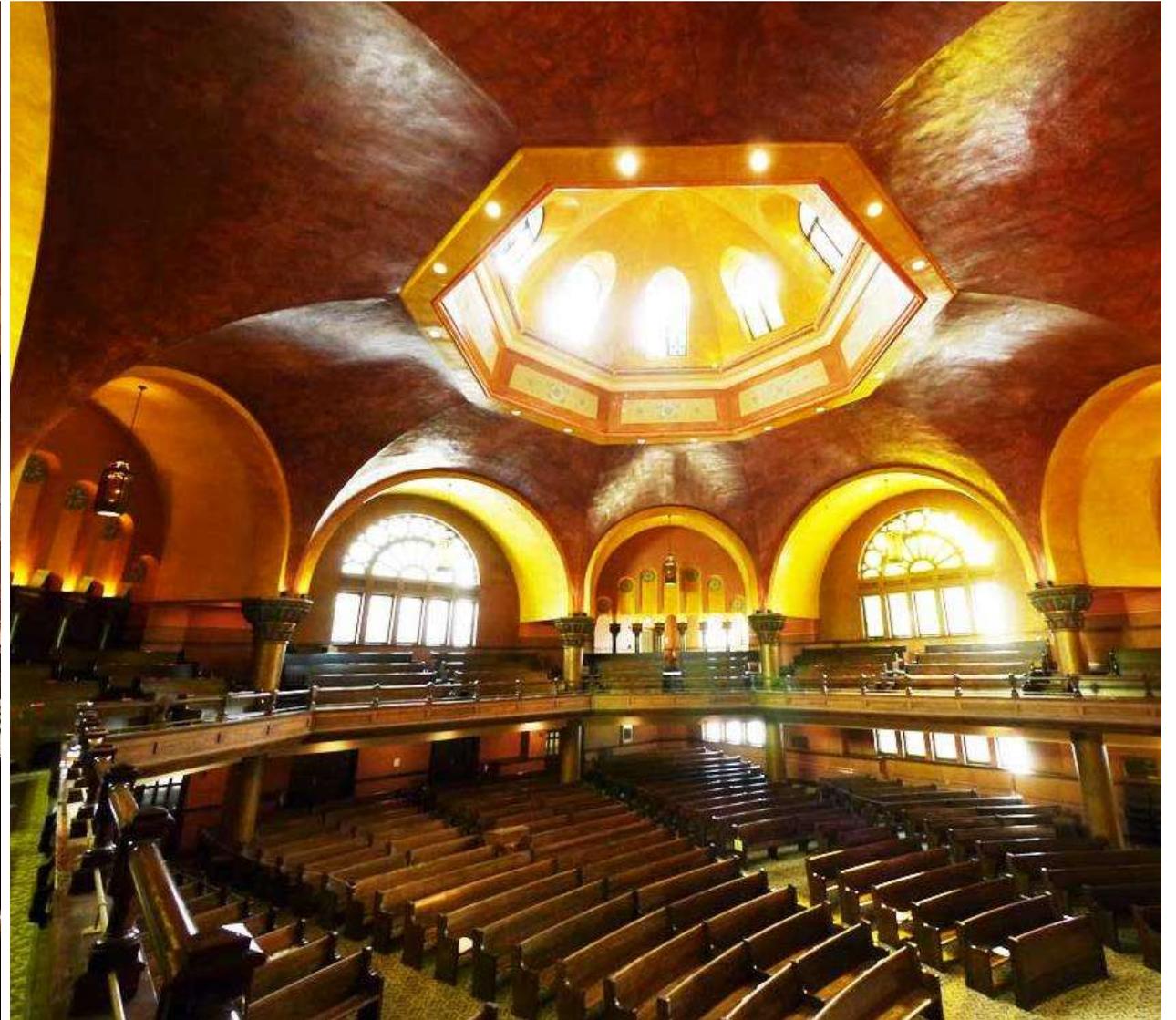
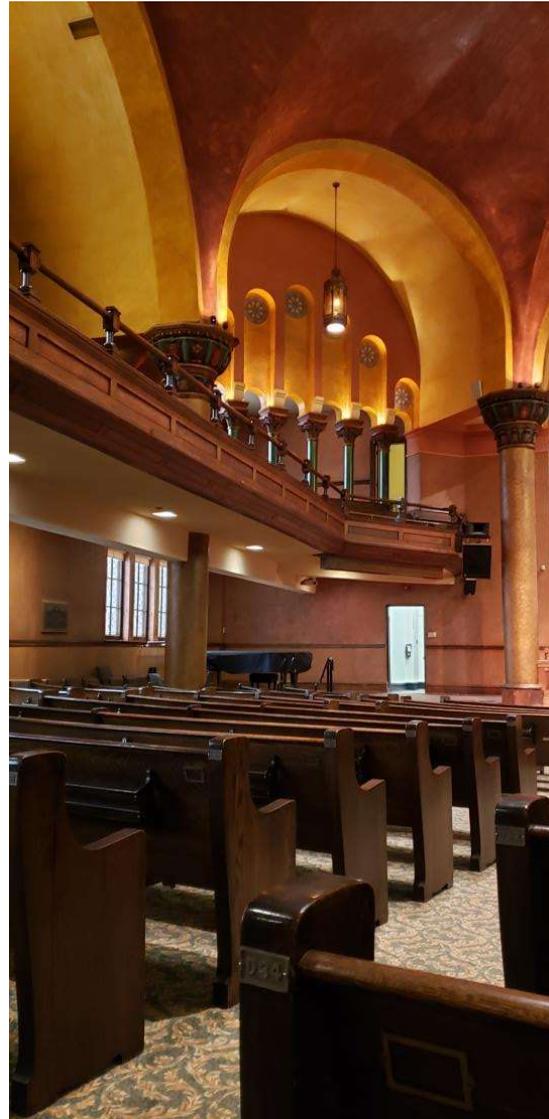
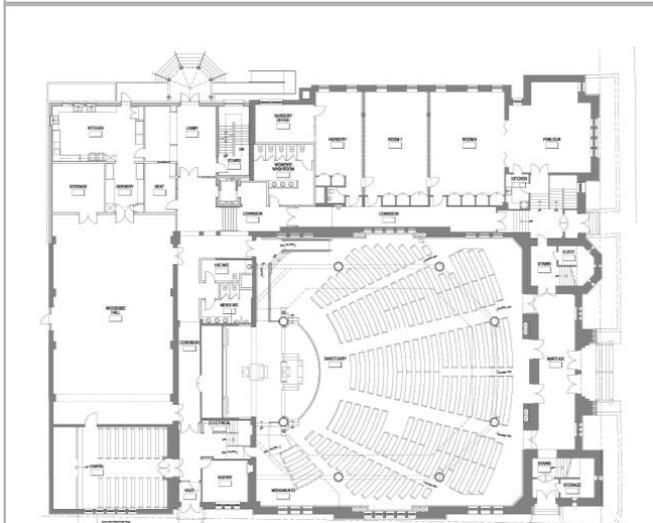
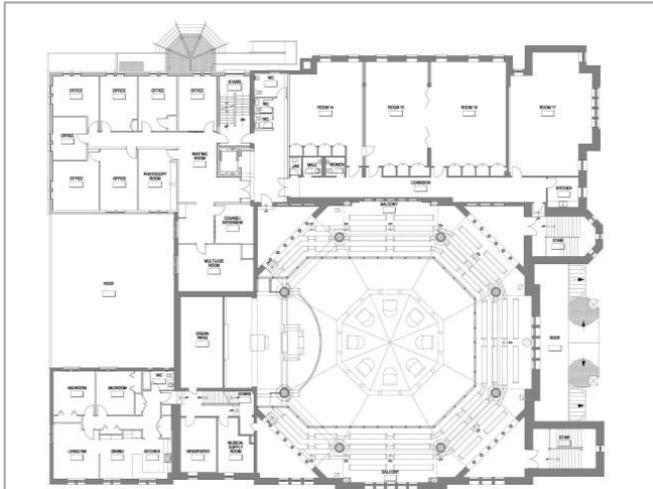
# A SITE WITH GREAT POSSIBILITIES

A Beautiful Heritage Building Cherished by the Community



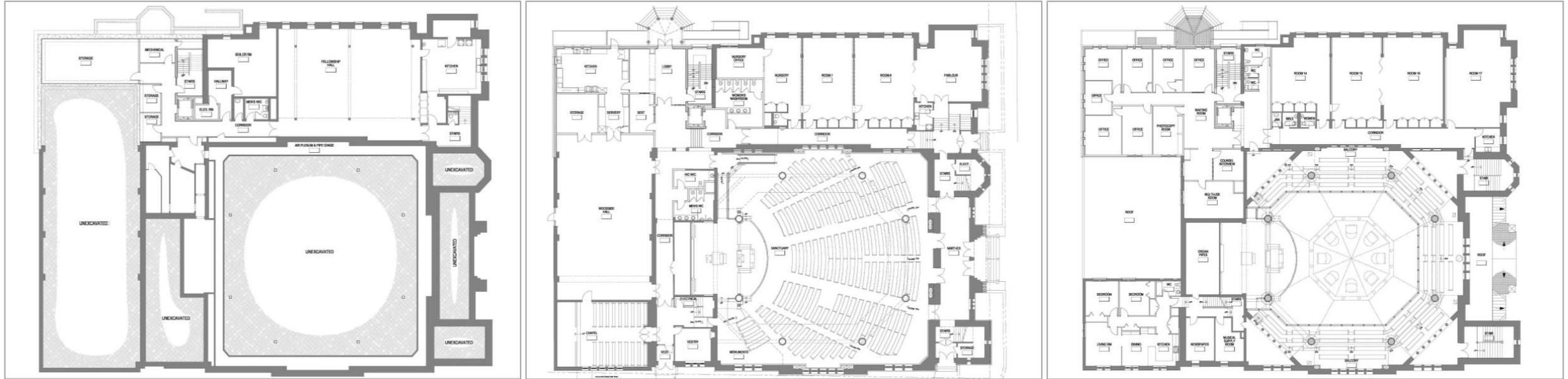
# A SITE WITH GREAT POSSIBILITIES

## A Remarkable Performance Hall



# A SITE WITH GREAT POSSIBILITIES

An Array of Multi-Use and Underused Spaces



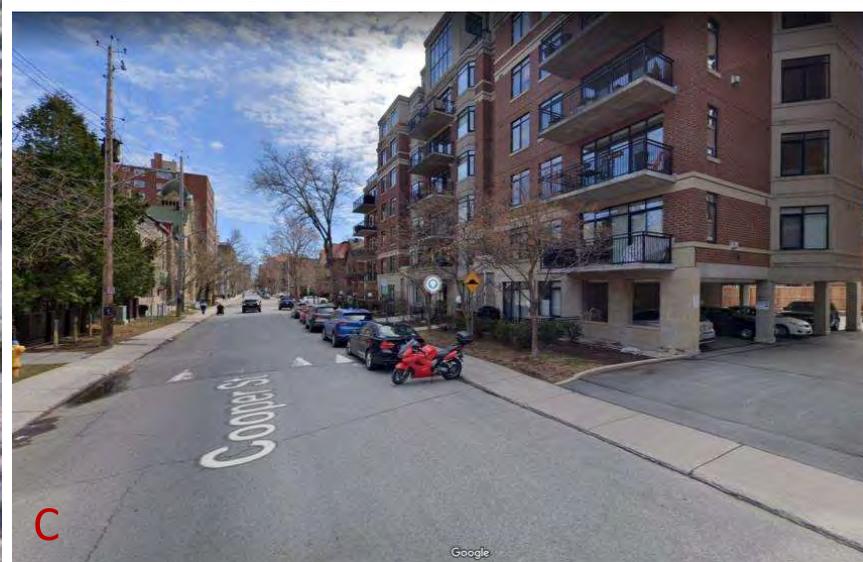
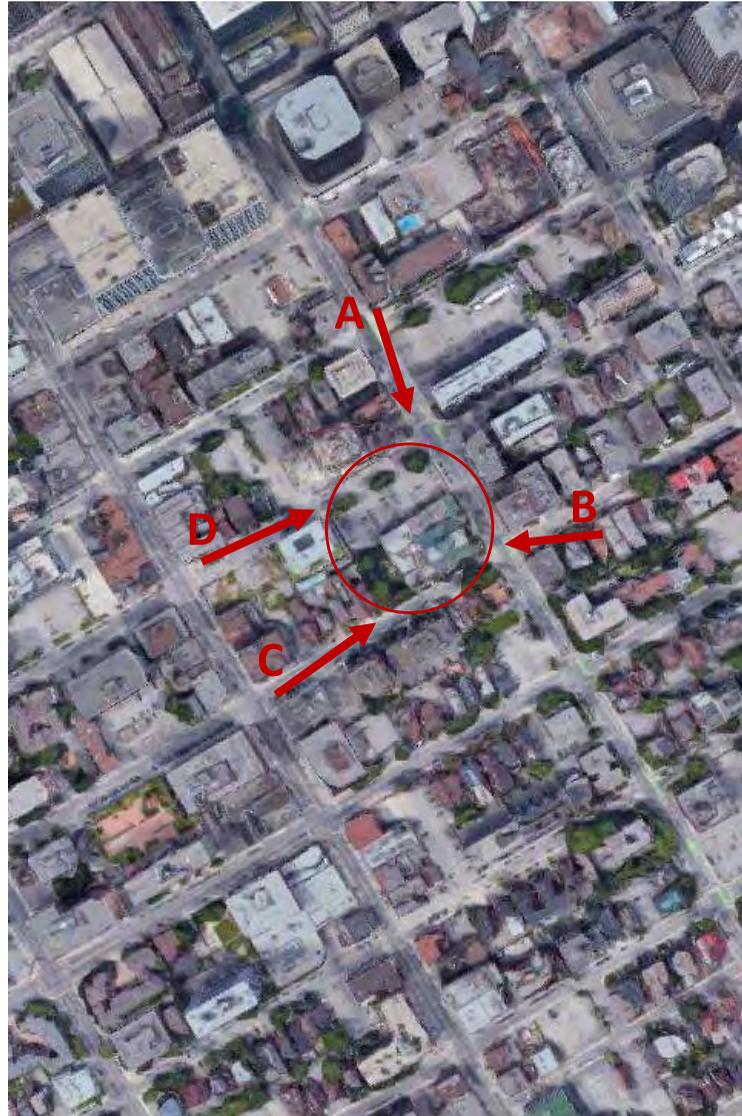
# A SITE WITH GREAT POSSIBILITIES

Large Adjoining Outdoor Spaces for Cultural Use



# A SITE WITH GREAT POSSIBILITIES

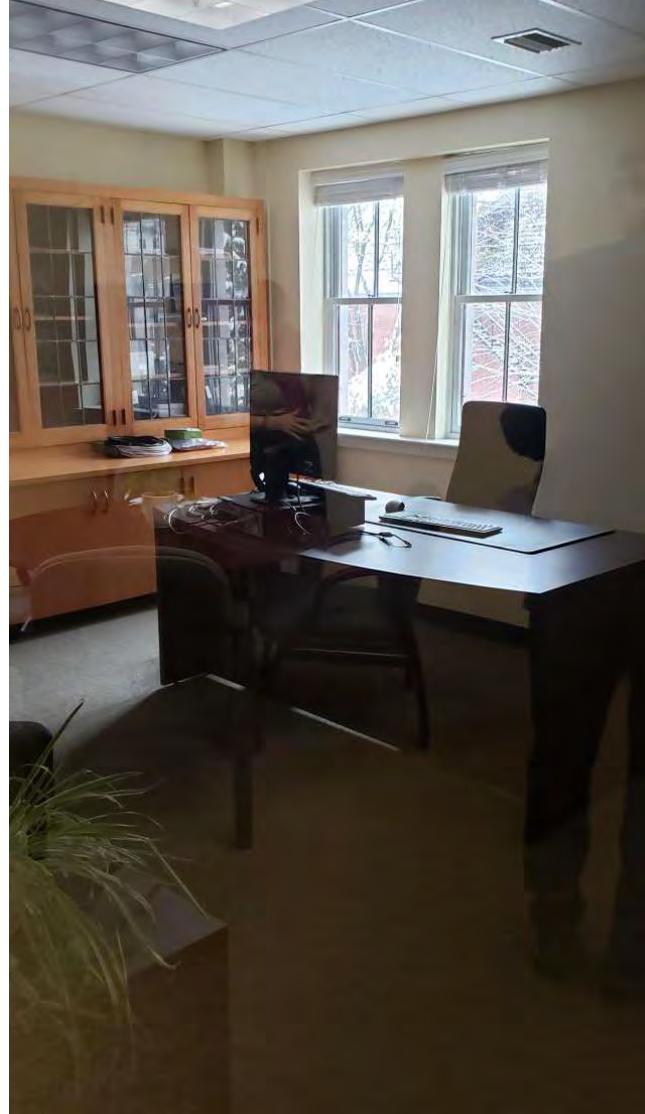
Prominent Visibility from Surrounding Neighbourhood



## 2. Existing Challenges

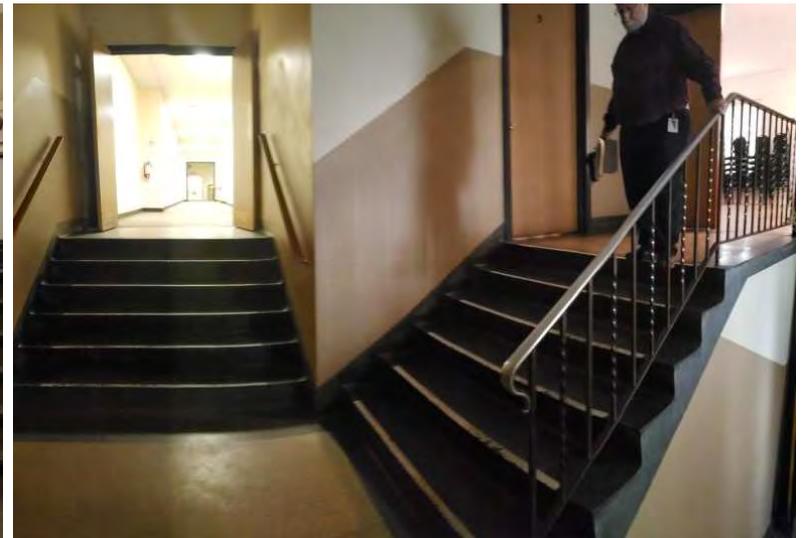
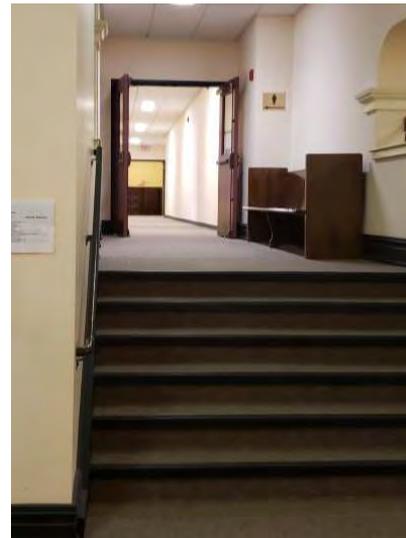
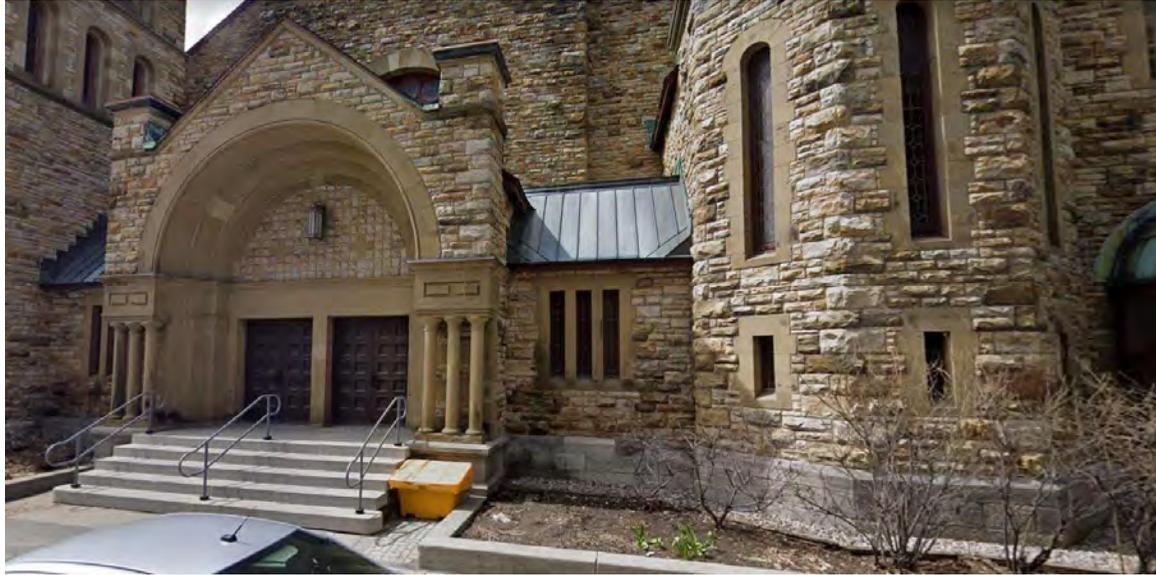
# EXISTING CHALLENGES

Spatial & acoustical issues when simultaneous events are being held in different spaces



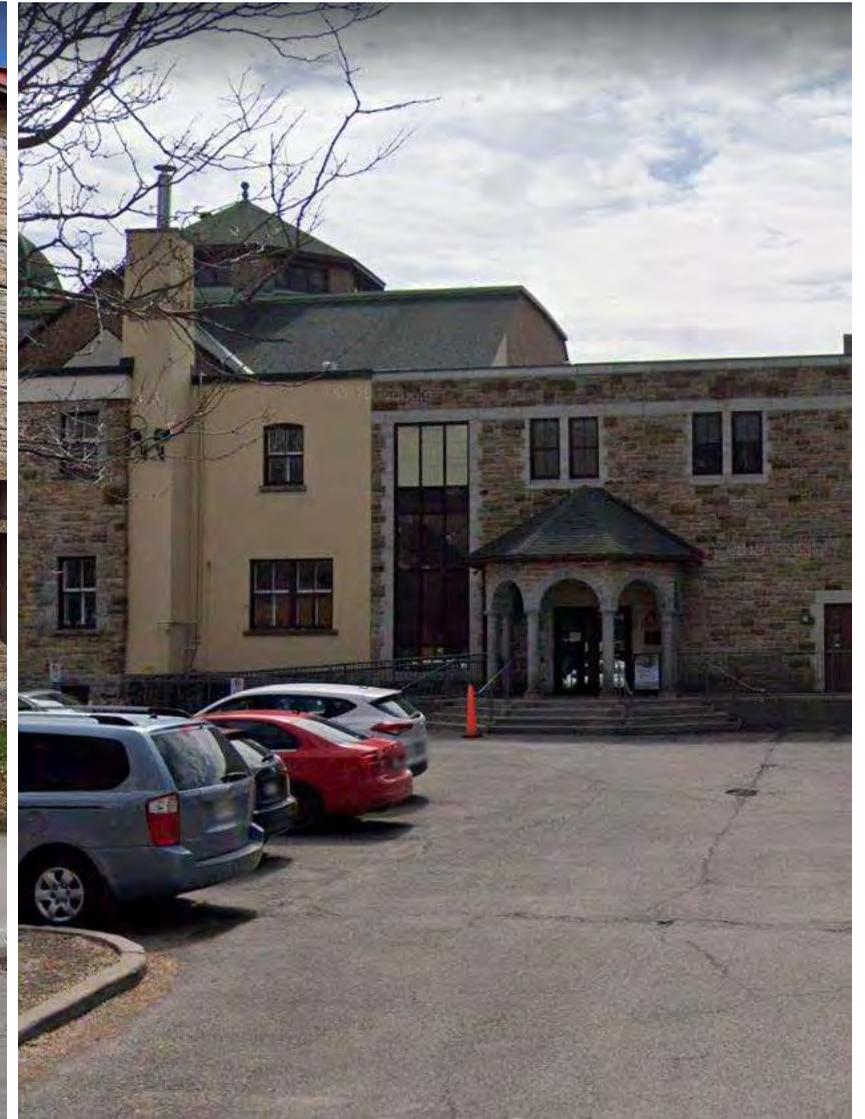
# EXISTING CHALLENGES

## Accessibility Issues From Outside and Within



# EXISTING CHALLENGES

## Confusing Points of Entry



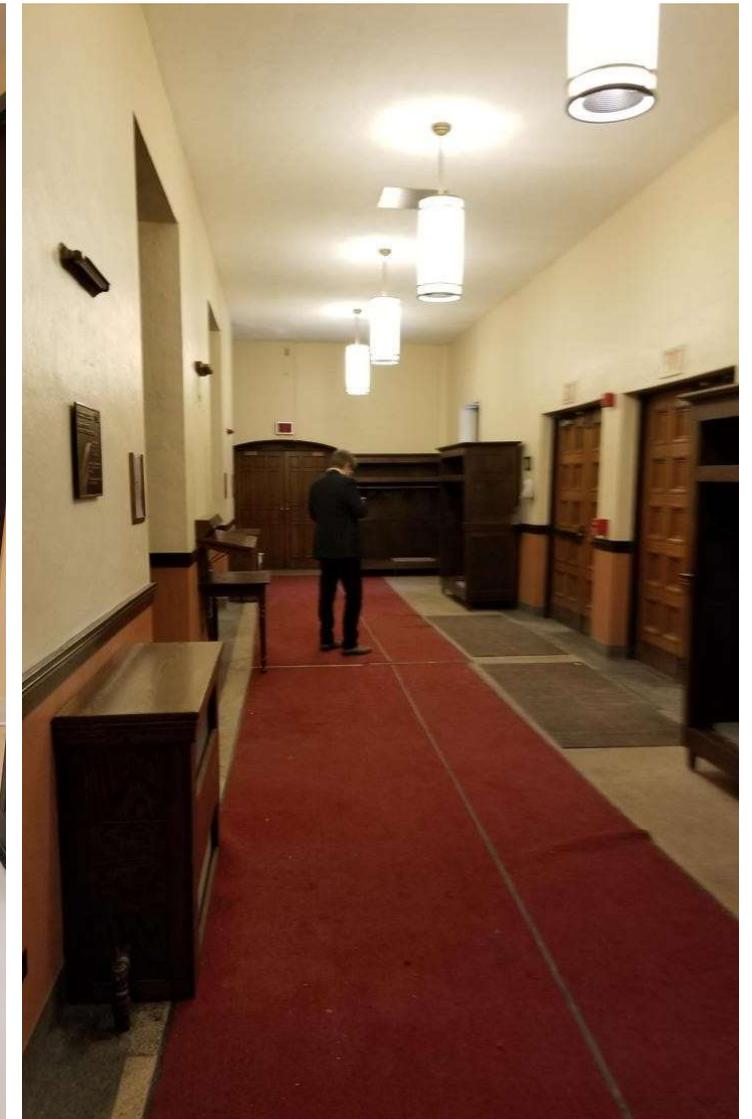
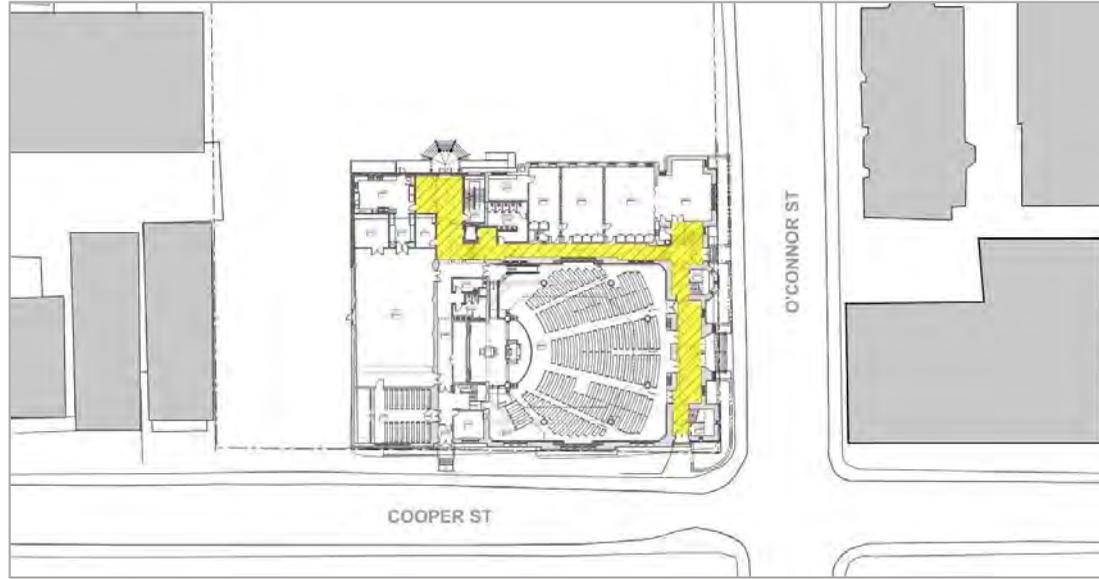
# EXISTING CHALLENGES

Lack of Street Presence and Transparency to the Many Activities Inside



# EXISTING CHALLENGES

Lack of Generous Circulation Space and Lobby Space



# 3. Precedents + Programme Opportunities

# PRECEDENTS + PROGRAMME OPPORTUNITIES

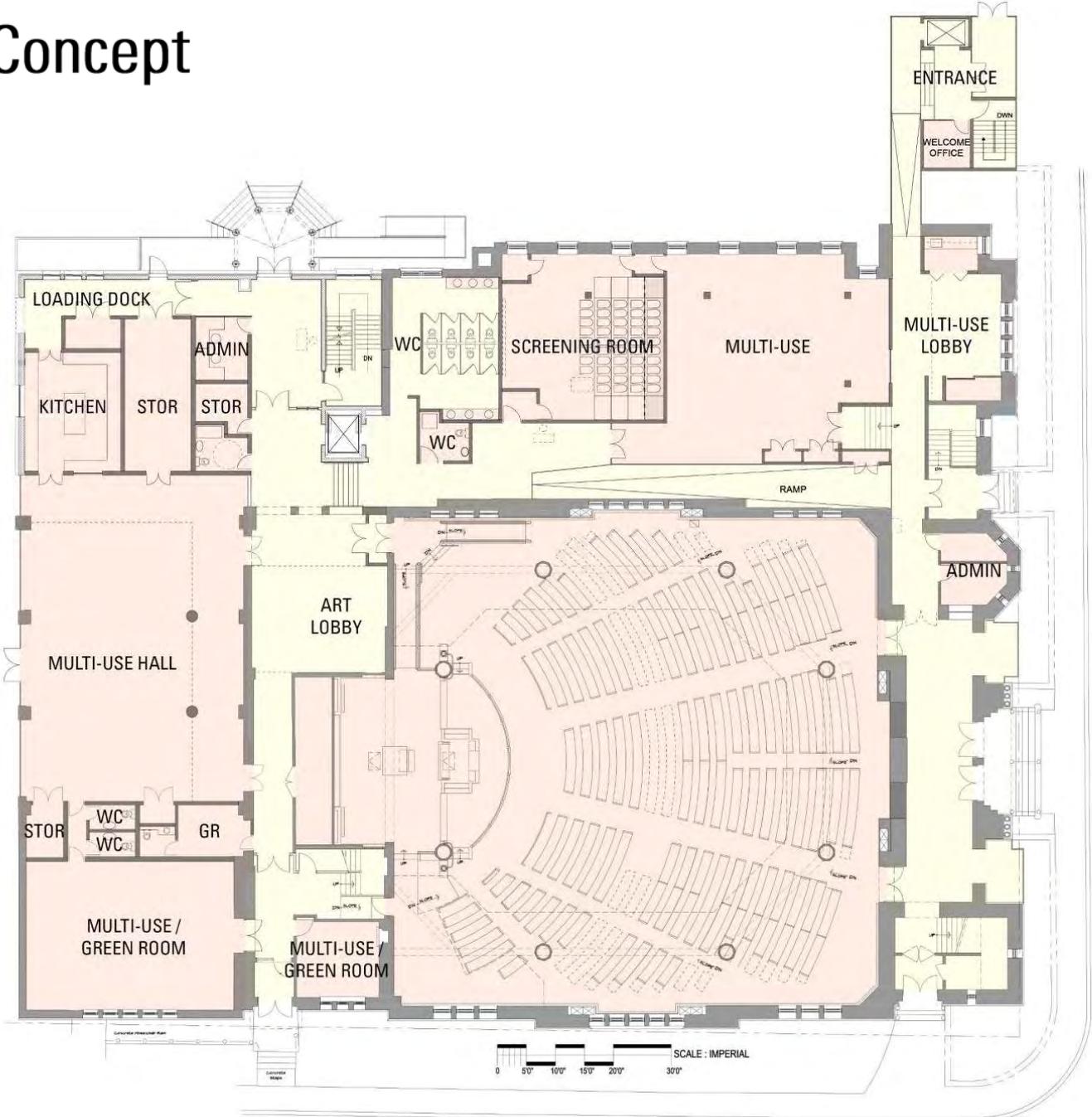
## Key Stakeholder Input to Date – What We Heard

- Ensure compatibility and a mutually beneficial relationship between the Cultural Hub and Church
- Open the lobby to O'Connor Street as a more welcoming, vibrant entrance
- Open Woodside Hall for more daylight and a better relationship to the garden
- Create as many multi-purpose rooms as possible for cultural and community use
- Add a black box theatre, recording studio, screening room, more practice rooms, dance room, exhibition and art gallery space, dedicated student space, enhancements to the Performance Hall
- Create more amenable and multi-use outdoor spaces for arts and cultural events
- Showcase the extraordinary heritage qualities of the building
- Create a more inclusive Cultural Hub with gender neutral washrooms and improved accessibility

# Preliminary Design Concept

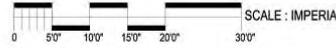
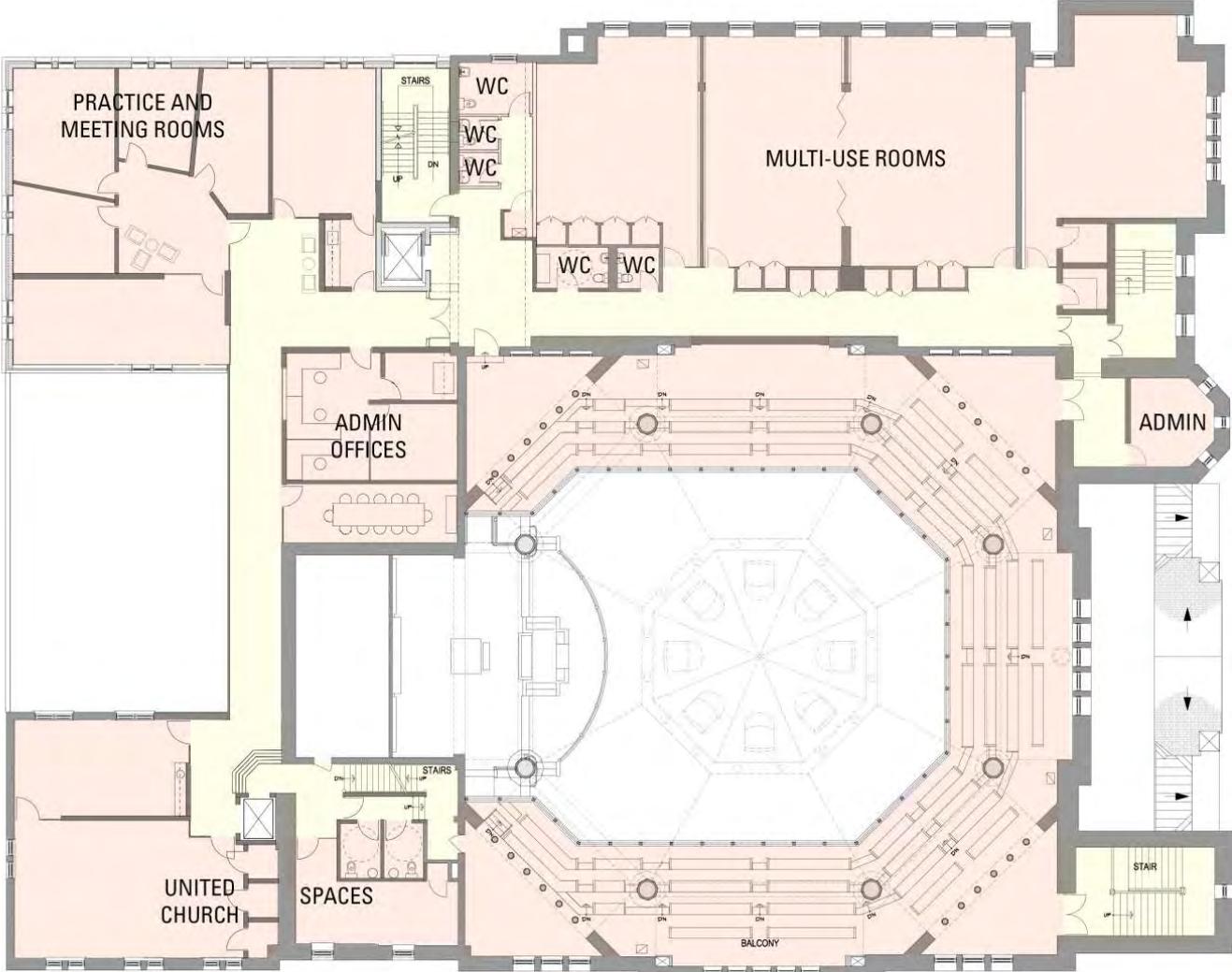
# Preliminary Design Concept

## Ground Floor



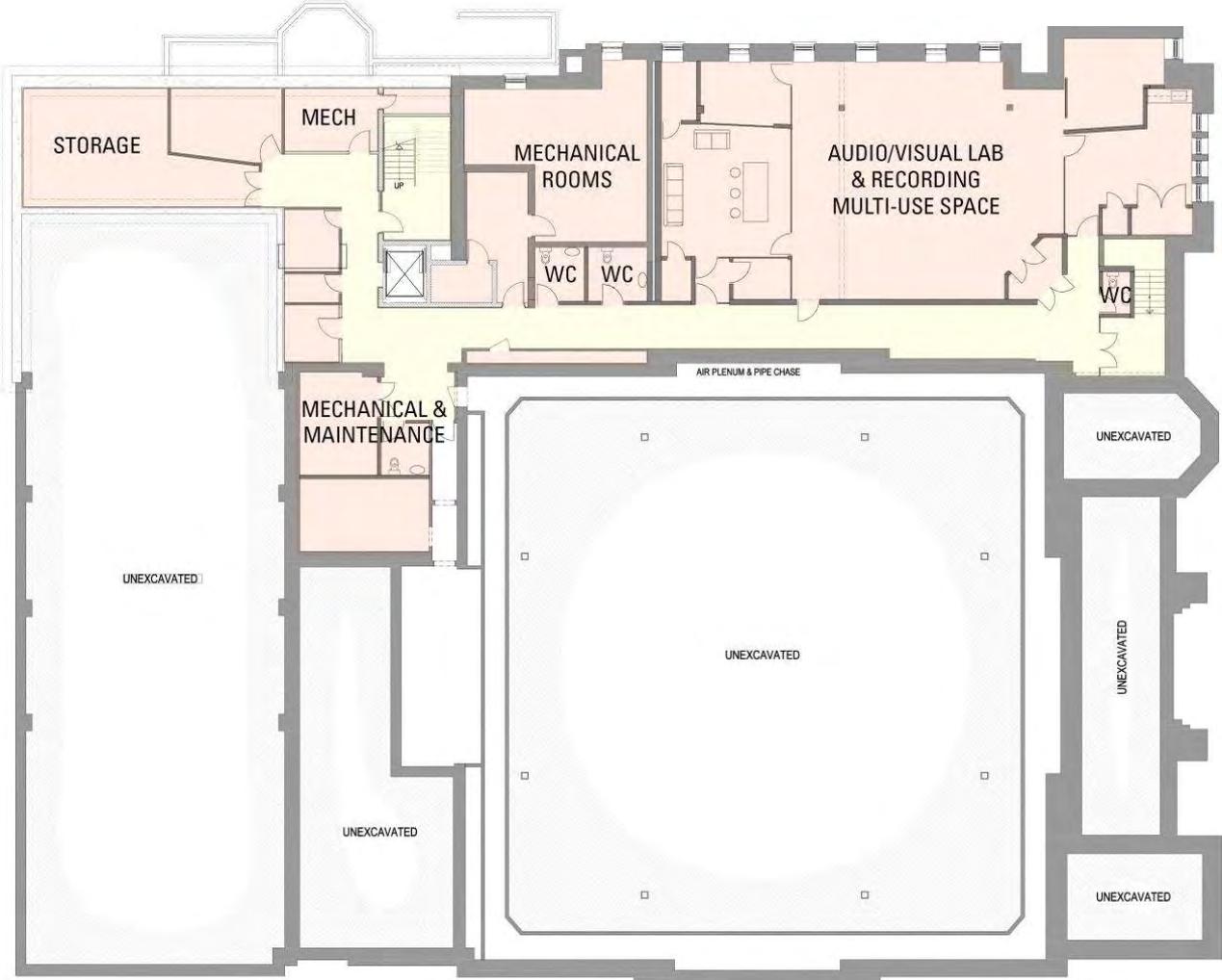
# Preliminary Design Concept

## Second Floor



# Preliminary Design Concept

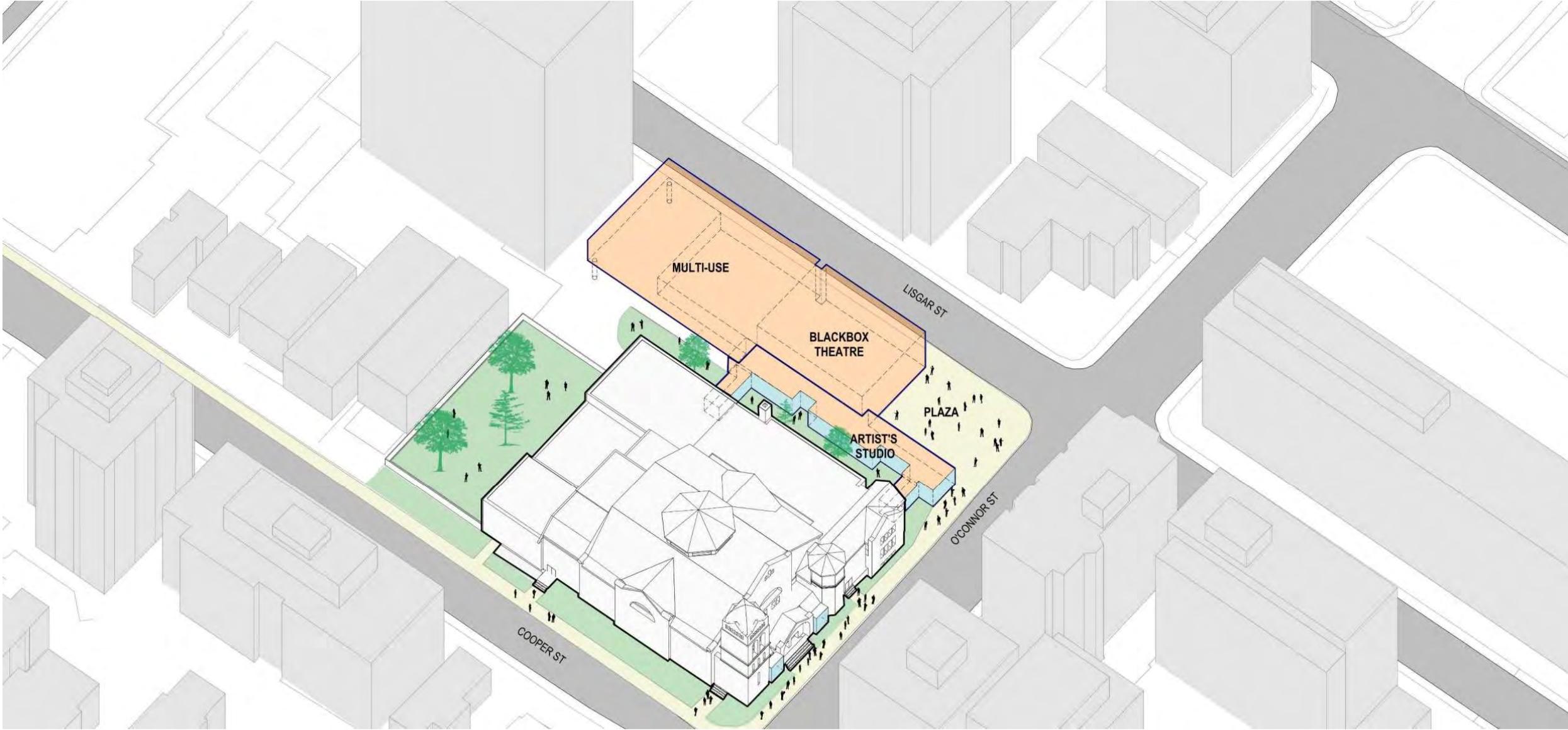
## Basement



SCALE : IMPERIAL  
0 50' 100' 150' 200' 300'

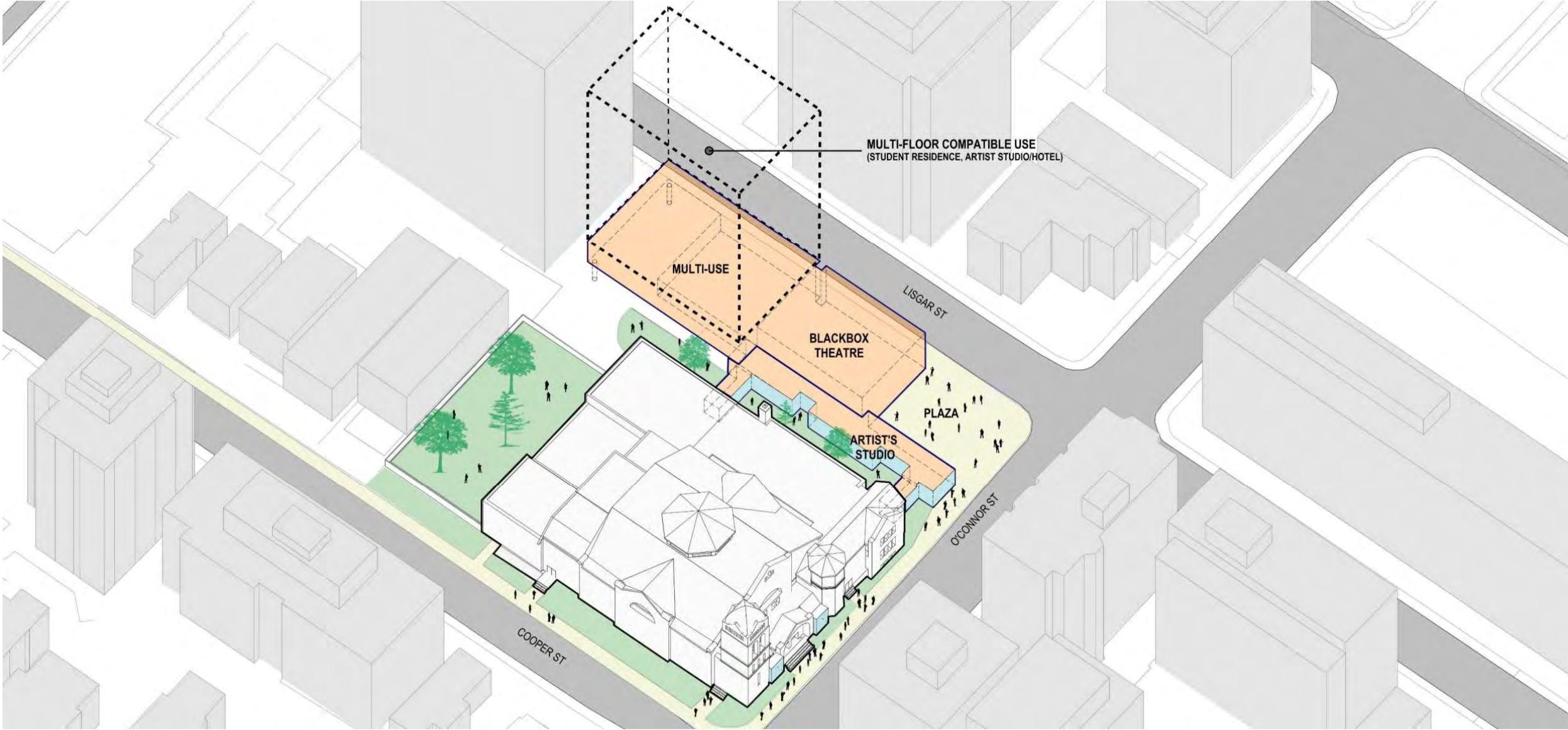
# Preliminary Design Concept

## Phase 2



# Preliminary Design Concept

## Phase 2



## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b>	10/30/2020
<b>From:</b>	Joint Finance and Building Program Committee	<b>Date of Meeting:</b>	12/01/2020
<b>Subject:</b>	Major Capital Projects & Deferred Maintenance		
<b>Responsible Portfolio:</b>	Finance and Administration		

### 1.0 PURPOSE

For Approval  For Information  For Discussion

### 2.0 MOTION

None

### 3.0 EXECUTIVE SUMMARY

Capital projects totalling \$147.9 million are currently underway. Total expenditures incurred as of September 30, 2020 and value of work completed to October 30, total \$84.5 million, with forecast spending of \$66.6 million. The Nicol Business Building is well underway with scheduled occupancy set for April 2021, and substantial completion in June. Construction of the Education Design Centre (Mackenzie Building) is also progressing, with site clearing being completed and excavation underway. Concerning the new student residence, we have completed the design documents to be construction ready. However, based on the existing uncertainty with student demand for housing, we will be putting the project on hold to limit further costs at this time. This report also provides a budget update on expenditures relating to Deferred Maintenance and Capital Renewal.

### 4.0 INPUT FROM OTHER SOURCES

The capital project expenditures report was prepared by Facilities Management and Planning, and was developed from information provided by the respective project managers.

### 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The following provides an update of the major capital projects underway:

- **Cogeneration Facility** – Construction of this \$20.7 million project is expected to be complete in the fall of 2020. Hydro Ottawa has started testing equipment and scenarios and commissioning will be completed in November. The project is forecast to be within 1% of the approved budget.
- **Nicol Building (Sprott Business School)** – Building envelope: Curtain wall installation is substantially complete, and installation of insulation/aluminum composite panels is underway. The service elevator is complete and certified for operation. Mechanical and electrical and interior systems work is ongoing. Interior wall partition boarding and taping is complete on levels 1 and 3. Sidewalks around the exterior are underway and planned to be complete by end of November. In response to ongoing concerns with the reliability of the contractor’s schedule, Carleton introduced Revay & Associates (a scheduling consultant) to the project team to work with the contractor to apply more rigor to schedule development, monitoring, and reporting. The current coordinated schedule is set for occupancy on April 16<sup>th</sup> and substantial completion of June 4<sup>th</sup>. Sprott faculty are expected to move in next summer.
- **Engineering Design Centre (Mackenzie Building Addition)** – Ellis Don (Construction Manager) mobilized in August, site clearing is complete and the excavation construction activities started on October 5th. There was a slight delay in the expected start of underground work due to delay in obtaining the required city permit. The project team will be working with all parties to find efficiencies to keep the project schedule on track in keeping with the September 2021 occupancy move-in date. Piling activities are in ongoing. Final design packages are being completed and tendering of various packages is progressing well. The project remains on budget. COVID-19 impact is being monitored closely, all parties are working collaboratively to follow the masking and physical distancing requirements.
- **New Student Residence** - Last February, the Board approved construction of a new student residence to be located on Carleton campus at a budget not to exceed \$73.5 million. Since then, we have seen considerable disruption to ancillary operations due to the COVID pandemic. This has affected the financial sustainability of ancillary services such as housing. At this time, Construction documents for the new residence are 95% complete. To-date, we have spent \$1.9 million on the design phase. The next step would be to request permits from the City to proceed with construction. These permits would cost +\$240K and be valid for one year. Based on the previous Board decision, we have paused the project. By pausing the project at this time, we will still incur additional costs of \$400k for consulting fees. By delaying the project, we can expect increased construction costs should the project resume.
- **Capital Renewal/Deferred Maintenance Projects** – The following projects are in design or are in construction:
  - Steacie Building renovations to labs on the 3rd and 4th floor (rooms 328, 329, 333, 412, and 432). The tender was awarded in August to PCL Constructors Canada, and work is underway. Scope includes architectural, mechanical and electrical upgrades to each of the rooms specified as well as any impacted integrated systems throughout the building.

- Social Sciences Research Building (SSRB) – Roof Replacement, Ceiling, Lighting, and HVAC upgrades – the tender closed in October, and has been awarded, with construction set to begin in November 2020.
- Herzberg Building Renewal upgrades in Block B on Levels 1, 2 and 4  
The design documents have been submitted by the Consultant and are under review. The commissioning services agent has been engaged. The tender documents will be finalized and issued early 2021, with construction scheduled for spring/summer 2021.

## 6.0 FINANCIAL IMPLICATIONS

At this time, we do not expect any issue that will have a material impact on being able to complete the capital projects on or under budget.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

Maintaining fully functioning facilities and infrastructure is critical to the ability of the University to advance its strategic goals. Failing infrastructure poses risks to the health and safety of staff and students as well as exposing the university to potential legal liability as owner of the premises. Carleton aims to minimise losses and associated risk caused by building system failures and damage to physical assets. Effective business continuity programs, insurance coverage, and ongoing investments in deferred maintenance will help minimize operational losses and mitigate the potential risk.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

Delays in completing capital projects could have a reputational impact with internal clients and additional financial costs to the University. Ongoing communications with key stakeholders is part of project management oversight.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

	LOW	MINOR	MODERATE	SERIOUS	VERY SERIOUS
STRATEGIC	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Carleton University  
Major Capital Projects  
Reporting at October 2020**

<b>Project</b>	<b>Budget</b>	<b>Expenditures at Sep 30, 2020</b>	<b>Work Completed to Oct 2020</b>	<b>Contingency (incl. in Budget)</b>	<b>Contingency Spent (%)</b>	<b>Anticipated Expenditures to Come</b>	<b>(Over) Under Budget</b>
<b>Capital Renewal 2018/19</b>	14,000,000	11,744,863	11,867,614	1,400,000	31%	2,033,355	221,782
<b>Capital Renewal 2019/20</b>	14,000,000	4,298,437	4,643,024	1,400,000	0%	9,701,563	0
<b>Capital Renewal 2020/21</b>	14,000,000	81,150	160,801	1,400,000	0%	13,918,850	0
<b>Cogeneration Facility</b>	20,700,000	18,978,740	18,991,445	2,500,000	112%	2,004,867	(283,607)
<b>Nicol Building</b>	65,585,033	42,457,406	43,390,000	2,334,000	69%	22,257,389	870,238
<b>EDC (ME Addition)</b>	17,285,000	1,064,007	1,521,743	1,200,000	0%	16,220,993	0
<b>New Residence 2022</b>	2,418,380	1,941,908	1,966,294	6,208,100	0%	476,472	0
<b>TOTAL</b>	<b>147,988,413</b>	<b>80,566,511</b>	<b>84,540,921</b>			<b>66,613,489</b>	<b>808,413</b>

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 30 October 2020
<b>From:</b>	Finance Committee	<b>Date of Meeting:</b> 01 December 2020
<b>Subject:</b>	<b>2020/2021 Ancillary Budget Update and Financial Support</b>	
<b>Responsible</b>	Vice-President (Finance and Administration)	
<b>Portfolio:</b>		

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

None at this time.

### 3.0 EXECUTIVE SUMMARY

Following presentation of the COVID-19 budget update for Ancillary Services, management prepared an analysis of the financial support that will most likely be required in order to maintain the long-term financial viability of ancillary operations.

The COVID-19 ancillary budget presented to the Finance Committee on September 15<sup>th</sup>, 2020, showed a projected deficit of \$33.8M for 2020-21, compared to a \$1.7M surplus in the original budget. This deficit has been further adjusted to \$35.9M, to reflect the decision to waive parking fees for the winter term. As indicated, the largest deficits would come from Housing, Dining, & Conference (\$20.8M); Athletics (\$6.5M); and Parking (\$6.5M). Although the ancillaries accumulated surpluses should be sufficient to cover the projected 2020-21 deficits, they will need support for future major capital projects. There is also concern that the pandemic could have lingering financial impacts well into the 2021-22 fiscal year, being that the summer season is an important revenue-generating period for ancillaries.

In order to assess the level of financial support that may be required by Ancillary Services, two scenarios were developed. The optimistic case would see ancillary operations return to normal in 2021-22, and recover projected 2020-21 losses within the next 3 years. The pessimistic case would see the pandemic disruption continue throughout 2021-22, and require up to 8 years to recover losses. In both cases, ancillaries would need financial support to implement major capital projects. In order to maintain ancillary operations sustainable, additional operating financial support of up to \$27.0M would be required, in addition to an estimated \$30.0M to help fund planned capital projects. These investments in ancillary operations would maintain the continuity of ancillary services critical to the student and community experience.

These estimates are for information only purposes at this time, with a recommendation to the Committee for decision on actual financial support expected by the end of the fiscal year.

### 4.0 INPUT FROM OTHER SOURCES

Ancillary business unit senior managers met in June to review the impact of the pandemic disruption on their operations and possible mitigating measures. Management continues to assess options and financial requirements on an ongoing basis. The updated financial projections for 2020-21 assume minimal on-campus physical presence for the year, and the pessimistic scenario assumes a continuation of the pandemic disruption throughout 2021-22. Planning assumptions are highly dependent on the university's enrolment expectations and students/staff return to campus. Ancillary services are working closely with community leaders to ensure that activities are provided in a coordinated manner when appropriate, and follow government health and safety regulations.

## **5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

The presentation (attached) provides a view of expected financial needs of ancillary operations using two scenarios:

- An optimistic scenario, which assumes that ancillaries will fully recover from the COVID disruption in fiscal year 2021-22, which would leave a net accumulated surplus of \$7.3M down from the budgeted accumulated surplus of \$42.5M. *Note: this accumulated surplus has been earmarked for deferred maintenance and major capital projects.*
- A pessimistic scenario, which assumes that the effects of the pandemic would continue throughout Fiscal 2021-22, with minimal on-campus activity throughout the year (same as 2020-21) and would result in a net accumulated deficit of \$26.9M before major capital investments.

The analysis also looked at historical annual normalized earnings to determine the time required for ancillaries to recover deficits under the two scenarios. Under the optimistic scenario, it would take up to 3 years for the ancillaries to eliminate their accumulated deficit. Under the pessimistic scenario, it would take up to 8 years, which would significantly affect the ancillaries ability to maintain ongoing viable operations and re-invest in their operations.

The last part of the presentation addresses planned capital investment of ancillaries. Although mostly funded by debt, there are expectations that ancillaries would contribute approximately \$30.0M to the costs of these projects, accumulated from past operating surpluses.

Overall, it is expected that ancillaries will require support of up to \$30.0M to fund planned capital projects and up to \$27.0M to support ongoing operations in the pessimistic case where the pandemic disruption continues throughout 2021-22.

## **6.0 FINANCIAL IMPLICATIONS**

Ancillary units are expected to generate sufficient revenue to cover the total costs of providing services, including appropriate reserves to cover capital renewal (deferred maintenance). Because of the disruption caused by the pandemic, we expect to see a net deficit of \$35.9M for the year due to revenues being \$44.5M less than budget, offset by a reduction in operating expenses of \$8.8M. Ancillaries will require financial support ranging between \$30.0M (for capital investments) up to \$57.0M (to support operations under the pessimistic scenario).

## **7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT**

Through prudent fiscal management, Ancillary Services have been able to generate surpluses for many years. These accumulated surpluses allowed the university to maintain and renew aging infrastructure while accommodating the changing needs of students. The current pandemic disruption will significantly weaken the ancillary services financial position and increases the operational, financial, and reputational risks. The inability to replace aging infrastructure and provide students with modern facilities could have a significant impact on the university's ability to recruit and retain students and increases risk and liability related to deteriorating infrastructure.

## **8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY**

Ancillary services support the academic and research mission of the University, and directly affect the student campus experience. They are an important factor in students' satisfaction. The university must continuously strive to provide cost-effective services that are sustainable and competitive with other institutions. Failure to do so could have an impact on the University's reputation and recruitment. Communication and marketing of ancillary services is an integral part of the work of the various units.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

	VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
STRATEGIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

# Ancillary Services

## Financial Support

Finance Committee  
November 17, 2020



**Carleton**  
UNIVERSITY



# Impact of Pandemic on Ancillaries



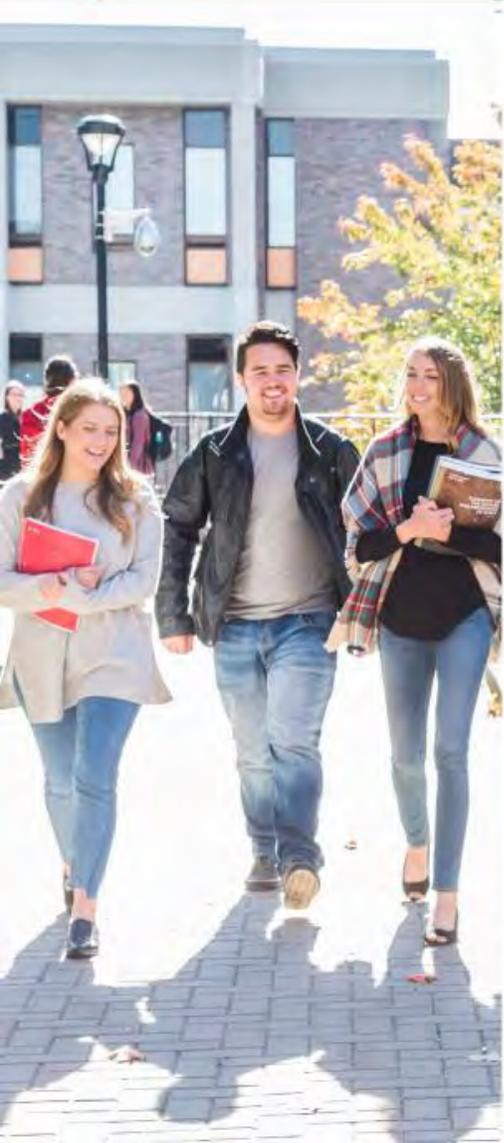
## Fiscal Year 2020-21:

- Ancillary services face significant financial pressures as a result of COVID pandemic
- Majority of ancillary services offered in person
- Physical restrictions reduce ability to offer services and impacts experience
- Each ancillary is nuanced, and impact of pandemic is not uniform

## Future Years:

- Lingering operational impacts of COVID-19
- Significant deferred maintenance requirements on most buildings
  - Detailed review of deferred maintenance for Ancillaries underway
- Planned major capital projects
  - Student Residence
  - Wellness Hub
  - Parking Garage

# Ancillary Services - 2020-21 Projections



	2020-21 Budget (\$000's)	2020-21 Projection (\$000's)	Variance (\$000's)
Revenue	71,575	27,098	(44,477)
Expenses and transfers	46,673	37,830	8,843
Operating surplus (deficit)	24,902	(10,732)	(35,634)
Renovations & capital debt	23,188	25,165	(1,677)
Year-end surplus (deficit)	1,714	(35,897)	(37,611)
Accumulated surplus	42,480	4,869	

- Most significant anticipated losses in 2020-21 are in Housing, Dining, & Conference (\$20.8M); Athletics (\$6.5M); and Parking (\$6.5M)
- Majority of ancillaries must draw down reserves to cover year-end deficit
- Challenge to reduce expenses as majority relate to fixed costs

# Funding Requirement Fiscal 2022 - Optimistic



Funding & Commitments	Housing & Dining	Athletics	Parking	Print Shop	Other	Total
Projected accumulated surplus (deficit) – April 2021	(8,127)	6,694	(2,383)	(369)	9,054	4,869
Operating surplus (deficit)	14,991	2,091	3,280	160	3,815	24,337
Major Renovations	(8,400)	(1,508)	(1,020)	-	(690)	(11,618)
Capital Debt Repayment	(6,953)	(764)	(1,236)	-	(1,332)	(10,285)
Closing accumulated surplus (deficit) - April 2022	(8,489)	6,513	(1,359)	(209)	10,847	7,303

- Optimistic scenario assumes that Fiscal 2021-22 operations recover from impact of COVID pandemic
- Housing & Dining, Parking, and Print Shop will each remain in an accumulated deficit position by the end of April 2022 (\$10M combined accumulated deficit)

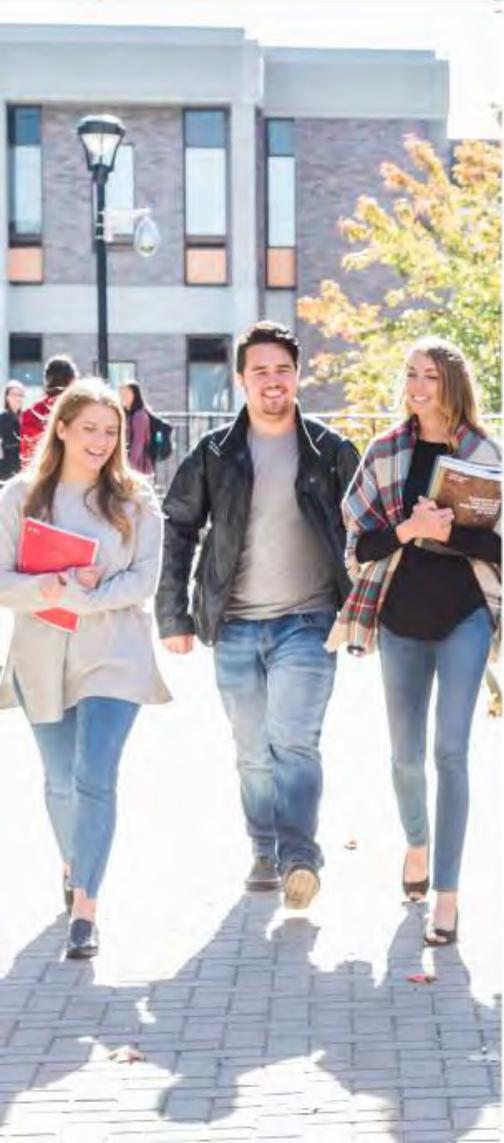
# Funding Requirement Fiscal 2022 - Pessimistic



Funding & Commitments	Housing & Dining	Athletics	Parking	Print Shop	Other	Total
Projected accumulated surplus (deficit) – April 2021	(8,127)	6,694	(2,383)	(369)	9,054	4,869
Operating surplus (deficit)	(4,395)	(4,479)	(2,768)	(907)	2,634	(9,915)
Major Renovations	(8,400)	(1,508)	(1,020)	-	(690)	(11,618)
Capital Debt Repayment	(6,953)	(764)	(1,236)	-	(1,332)	(10,285)
Closing accumulated surplus (deficit) - April 2022	(27,875)	(57)	(7,407)	(1,276)	9,666	(26,949)

- Pessimistic scenario assumes that the effects of the pandemic continue to Fiscal 2021-22, with minimal on-campus activity throughout the year
- Housing & Dining, Athletics, Parking, and Print Shop will each be in an accumulated deficit position by the end of April 2022 (\$36.6M combined accumulated deficit)

# Recovery of Accumulated Deficits



- Historical annual normalized earnings:
  - Housing & Dining: ~\$2.9M operating surplus per year
    - Optimistic scenario – 3 years to pay off deficit
    - Pessimistic scenario – 8 years to pay off deficit
  - Parking Services: ~\$0.6M operating surplus per year
    - Optimistic scenario – 3 years to pay off deficit
    - Pessimistic scenario – 13 years to pay off deficit
  - Print Shop: break-even operation
    - Optimistic scenario – will incur an accumulated deficit of \$0.2M
    - Pessimistic scenario – will incur an accumulated deficit of \$1.3M

*Note: the normalized earnings excludes transfers to other Ancillary Units, as well as any one-time down-payments on buildings. The repayment of the accumulated deficit would require that all surpluses go towards the deficit, thereby eliminating the opportunity for reinvestment into capital projects (new buildings) or other new initiatives. Further, the above scenarios do not take into account the impact of the pandemic on future operations.*

# New Major Capital Projects



- Student Residence
  - Estimated cost: \$73.5M
  - Completion date: 2023
- Parking Garage
  - Replaces P9 Parking Garage
  - Estimated cost: \$60M
  - Completion date: 2024



- Wellness Hub:
  - Phase 1 - Athletics, Aquatics, and Health Services estimated cost: \$83M
  - Phase 2 - Academic, Research, Event and Admin estimated cost: \$55MTotal Estimated Cost: \$138M  
Completion Date: TBD



## Recommended Support:

- Optimistic Scenario: allow ancillary units to carry an accumulated deficit
- Pessimistic Scenario: \$27M in financial support to bring accumulated deficit to same position as under optimistic scenario; allow ancillary units to carry an accumulated deficit
- Support the required major capital projects planned for the ancillary units: \$30M



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## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 27 October 2020
<b>From:</b>	Director, Pension Fund Management	<b>Date of Meeting:</b> December 1, 2020
<b>Subject:</b>	<b>Endowment Investment Report</b>	
<b>Responsible</b>	Vice-President (Finance and Administration)	
<b>Portfolio:</b>		

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

This report is for information only.

### 3.0 EXECUTIVE SUMMARY

This investment report assists the Finance Committee of the Board in its oversight of the University's Endowment Fund (the "Fund"). The report focuses on the investment returns of the Fund and provides information about the Fund's asset mix and outside investment counsel. This working paper reports on performance of the Fund for periods ending September 30, 2020.

The Fund is comprised of three subsidiary funds – the General Endowment which is where most donations to the University are directed, and two smaller, single- manager funds - the Sprott Bursary fund and the Jarislowsky Chair in Water and Global Health.

The objective of the Fund is to achieve returns that will allow annual distributions of 4% of a moving four-year average of the market value of the Fund and a 1% administrative levy while preserving the real value of the Fund in perpetuity. Results for this period show that this objective has been met.

On a combined basis (i.e. including all three components), the returns on the Fund were

Carleton University **Combined Endowment** Performance  
For periods ending September 30, 2020  
Market Value \$328.9 million (\$304.8 million 2019)

	1Q	1 year	2 years	4 years	5 years
<b>Total Combined Endowment</b>	<b>4.5</b>	<b>8.3</b>	<b>9.1</b>	<b>7.0</b>	<b>9.2</b>
<i>Benchmark</i>	<i>3.9</i>	<i>7.0</i>	<i>7.0</i>	<i>6.8</i>	<i>7.4</i>
Value added	0.6	1.3	2.1	0.2	1.8

Note: Performance numbers are gross of fees.

The General Endowment represents over 90% of all endowed funds. Distributions from the General Endowment support numerous student aid and other campus initiatives. The returns on the General Endowment were

Carleton University **General Endowment** Performance  
 For periods ending September 30, 2020  
 Market value \$303.3 million (\$285.4 million 2019)

	<u>1Q</u>	<u>1 year</u>	<u>2 years</u>	<u>4 years</u>	<u>5 years</u>
<b>Total General Endowment</b>	<b>4.4</b>	<b>6.3</b>	<b>7.7</b>	<b>7.3</b>	<b>8.4</b>
<i>Benchmark</i>	<i>3.9</i>	<i>7.0</i>	<i>7.0</i>	<i>6.9</i>	<i>7.7</i>
Value added	0.5	-0.7	0.70	0.4	0.7

#### 4.0 INPUT FROM OTHER SOURCES

BNY Mellon is the independent performance measurement provider for the Fund. Information from their reports for the period ending September 30, 2020 was used in preparing this investment report.

#### 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The Carleton University Endowment Fund is comprised of three subsidiary funds – the General Endowment which is where most donations to the University are directed, and two smaller, single- manager funds - the Sprott Bursary fund and the Jarislowsky Chair in Water and Global Health. Each of these is discussed below.

In considering returns for periods longer than four years, note that in June 2016, the asset mix of the Endowment Fund changed materially. A Sprott Asset Management (SAM) equity mandate within the General Endowment was terminated as was the SAM hedge fund mandate in which the endowment for the Sprott School of Business was invested. The rebalancing took place over the third quarter of 2016. The funds received from the liquidation of these mandates were reallocated to two other investment managers – Phillip, Hager & North and MFS – who have had mandates within the Fund for several years.

The Investment Committee is confident that these changes will improve the risk and return profile of the Endowment Fund in the long run. However, it is important to note that historical returns for the combined Endowment Fund will continue to incorporate the past performance of the SAM mandates over longer measurement periods.

##### 1. The General Endowment

The General Endowment represents over 90% of all endowed funds. Distributions from this Fund support numerous student aid and other campus initiatives. The General Endowment totaled \$303.3 million at September 30, 2020, up from \$285.4 million at September 30, 2019.

The General Endowment is managed by Phillips, Hager & North (“PH&N”), and MFS Institutional Advisors (“MFS”). The Fund also holds an infrastructure investment managed by Brookfield. Commitments to two new infrastructure funds (GIP IV and JPMorgan Infrastructure Investments) have been made but have not been funded at the date of this report.

##### Asset Mix of the General Endowment

The policy asset mix and the current asset mix are:

	<u>Policy</u>	<u>Current</u>	<u>Variance</u>
Canadian fixed income	25%	27.6%	2.5%
Canadian equities	25%	24.5%	-0.5%
Global equities	35%	45.5%	10.5%
Infrastructure	15%	2.5%	-12.5%

With the exception of infrastructure and an overweight within global equities, weightings for all asset classes are

within the 10% ranges permitted under policy. Capital calls for the infrastructure mandates are expected within the next few months and the asset mix will show a flow of funds from global equities to infrastructure as capital calls are received.

### Investment Managers

At September 30, 2020, the investment counsel for the General Endowment were:

<u>Investment Manager</u>	<u>\$ (millions)</u>	<u>% of Total</u>	<u>Mandate</u>
PH&N	\$ 158.2	52.1%	Can equities (45%), fixed income (55%)
MFS	\$ 138.1	45.5%	Non-Canadian equities
Infrastructure	<u>\$ 7.0</u>	<u>2.4%</u>	Infrastructure
	\$ 285.4	100.0%	

At September 30, 2020, the managers' returns were as follow:

	<u>1Q</u>	<u>1 year</u>	<u>2 years</u>	<u>4 years</u>	<u>5 years</u>
<b>PH&amp;N</b>	<b>3.2</b>	<b>6.0</b>	<b>7.2</b>	<b>4.9</b>	<b>6.2</b>
<i>Benchmark</i>	<u>2.4</u>	<u>4.4</u>	<u>6.5</u>	<u>4.7</u>	<u>5.8</u>
Value added	0.8	1.6	0.7	0.2	0.4
	<u>1Q</u>	<u>1 year</u>	<u>2 years</u>	<u>4 years</u>	<u>5 years</u>
<b>MFS</b>	<b>6.3</b>	<b>7.3</b>	<b>9.0</b>	<b>10.7</b>	<b>10.7</b>
<i>Benchmark</i>	<u>5.9</u>	<u>11.9</u>	<u>8.0</u>	<u>10.9</u>	<u>10.5</u>
Value added	0.4	-4.6	1.0	-0.2	0.2
	<u>1Q</u>	<u>1 year</u>	<u>2 years</u>	<u>4 years</u>	<u>5 years</u>
<b>Brookfield</b>	<b>2.5</b>	<b>0.9</b>	<b>1.7</b>	<b>0.4</b>	<b>n/a</b>
<i>Benchmark</i>	<u>0.3</u>	<u>5.2</u>	<u>6.0</u>	<u>6.6</u>	<u>n/a</u>
Value added	2.2	-4.3	-4.3	-6.2	n/a

## **2. Sprott Bursary**

The Sprott Bursary was established in November 2012. At the donor's request, the Bursary assets are invested solely by Sprott Asset Management ("SAM"). Distributions from this Fund support bursaries established by donations from Eric Sprott. This fund is not combined with the General Endowment.

At September 30, 2020, the value of the Bursary was \$21.1 million (\$14.9M at September 30, 2019). Returns were as follow:

	<u>1Q</u>	<u>1 year</u>	<u>2 years</u>	<u>4 years</u>	<u>5 years</u>
<b>Sprott Bursary</b>	<b>6.8</b>	<b>49.6</b>	<b>37.5</b>	<b>8.8</b>	<b>21.4</b>
<i>Benchmark</i>	<u>4.7</u>	<u>-0.0</u>	<u>3.5</u>	<u>5.5</u>	<u>7.2</u>
Value added	2.1	49.6	34.0	3.3	14.2

### 3. Jarislowsky Chair in Water and Global Health

This \$4.5 million endowment was funded in December 2015. This endowment has been set up as a single-purpose endowment and will not be combined with the General Endowment. The fund is invested in a balanced portfolio of Canadian and non-Canadian stocks and Canadian fixed income managed by Jarislowsky Fraser Limited. The return for the quarter ended September 30, 2020 was 3.7% (benchmark was 4.4%), for one year, 6.3% (benchmark was 8.8%), the return for two years was 6.8% (benchmark, 7.8%), and for four years 8.1% (benchmark 8.5%).

## 6.0 FINANCIAL IMPLICATIONS

The performance of the Endowment Fund has an impact on the University's operating budget, most significantly in generating funds for student financial assistance. Annual distributions are made from the Fund at a rate of 4% of a four-year moving average of the market value of the Fund. A key objective of the Fund's investment policy is to meet this expenditure rate and to preserve the real value of the Endowment capital in perpetuity. In fiscal year 2019, the annual distribution from the Endowment fund was \$10.7 million, providing \$3.3 million for scholarships and awards, \$3.4 million in bursaries, and \$5.0 million in support to other academic and student service initiatives that would otherwise be funded from operations.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

This report assists the Finance Committee of the Board in its oversight of the Investment Committee for the Fund.

Major risks posed by the Endowment Fund relate to the failure of the Fund to generate enough revenue to meet required financial commitments, the risk of the Fund not being managed in accordance with the investment policy for the Fund, and the reputational risk if the first two risks are not appropriately managed.

The Investment Committee manages the Fund in accordance with the Statement of Investment Policies and Procedures developed for the Endowment Fund. The Investment Committee's terms of reference require periodic reporting to the Finance Committee of the Board of Governors. The Investment Committee is comprised of the Vice President, Finance and Administration, the Assistant Vice President, Finance, the Director, Pension Fund Management, a Dean (appointed by the President), a member of the Board of Governors, and two or more external members who have expertise in the area of investments.

Financial risk largely rests with the possibility of capital market performance that results in negative performance on the portfolio. This risk is mitigated by diversifying the portfolio and requiring quality constraints on individual securities. In addition, the use of a four-year average for calculating distributions from the Fund smooths peaks and troughs of investment returns and, thereby, of the annual distributions from the Fund.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

There is no reputational implication that requires a communications strategy.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

	VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
STRATEGIC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 28 October 2020
<b>From:</b>	Director, Pension Fund Management	<b>Date of Meeting:</b> 1 1 December 2020
<b>Subject:</b>	Pension Plan Report	
<b>Responsible</b>	Vice-President (Finance and Administration)	
<b>Portfolio:</b>		

## 1.0 PURPOSE

For Approval    For Information    For Discussion

## 2.0 MOTION

This report is for information only.

## 3.0 EXECUTIVE SUMMARY

This report is intended to give the Finance Committee an overview of the Carleton University Retirement Plan (“the Plan”). The University is the Sponsor of the Plan. Per the governance structure of the Plan, the Finance Committee and Board of Governors must approve certain decisions of the Pension Committee. This report assists in fulfilling these functions.

Each of the following areas are addressed In Section 5.0.

- Governance of the Plan
- Regulatory Environment
- Financial Position of the Plan
- Investment of the Pension Fund (“the Fund”), and
- Performance of the Pension Fund

Of particular note in the 2019/20 Retirement Plan year:

- An actuarial valuation at July 1, 2019 was filed and the financial position of the Plan has improved
- New provincial funding rules were implemented, relieving the pressure of solvency funding
- The Plan is close to 100% funded on a going-concern basis
- The COVID-19 pandemic resulted in a negative 10% return on the Pension Fund in March/April. The Fund subsequently recovered the loss and ended the Plan year with a -0.5% return (June 30,2020)
- A new infrastructure manager was hired
- In the fall of 2020, Carleton joined a group of other universities in an initiative that will allow them as a group to engage with portfolio companies on climate change matters

## 4.0 INPUT FROM OTHER SOURCES

BNY Mellon is the independent performance measurement provider for the Fund. Mercer is the actuary for the Plan. Certain information in this report is based on information from these experts.

## 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

### 1. Governance of the Plan

The Pension Benefits Act (Ontario) requires the Plan to have a Sponsor and an Administrator. Carleton University fills both these roles. The University, as Administrator, has delegated responsibility for administering the Plan to the Pension Committee, per Section 15 of the Retirement Plan text. All matters regarding the administration of the Plan, including

plan design changes and hiring or firing of investment managers, are the responsibility of the Pension Committee. Recommendations of the Pension Committee must be approved by the Finance Committee and Board of Governors. Items not approved are referred back to the Pension Committee.

The Plan is jointly governed in that the Pension Committee consists of individuals from the University, the Plan membership, and the Board of Governors. The 8-person membership of the Committee is defined in Section 15 of the Plan text. It includes five members elected or appointed by Plan members (two representing CUASA, one representing CUPE 2424, one representing CUPE 910, OPSEU 404, and CUPE 3778, one representing all non-union Plan members), an appointee of the Board of Governors, and two ex-officio members (Director, Pension Fund Management, and Assistant Vice President, Human Resources or delegate).

All parties involved in the administration of the Plan must act with the highest standard of care and in the best interests of all Plan beneficiaries. This principle is set out in the Pension Benefits Act (Ontario) and common law.

## **2. Regulatory Environment**

After three rounds of temporary solvency funding relief spanning a decade, the Province introduced new funding rules for pension plans on May 1, 2018. Funding rules determine the amount of contributions that must be made to a registered pension Plan. The highlights of the new rules are:

***Reduced solvency (hypothetical windup) funding requirements.*** Solvency valuations still are required but solvency special payments are required only when the funded status falls below 85%. (The funded status is the ratio of assets in a pension fund to the liabilities for accrued pension benefits.) This is a positive change.

***Going concern funding rules have been strengthened.*** The requirement to amortize going concern deficits has been shortened from 15 years to 10 years. In addition, a new “Provision for Adverse Deviations” (“PfAD”) must be calculated and fully funded. The purpose of the PfAD is to provide a cushion against market volatility, thereby making benefits more secure. The PfAD for Carleton is 10% of actuarial liabilities. Note also that there will be restrictions on plan design improvements and contribution holidays if the PfAD is not fully funded.

## **3. Financial Position of the Plan**

The most recent actuarial valuation was at July 1, 2019. This valuation has been filed with the Provincial regulator (FSRA). The new funding rules have been applied to this valuation.

By way of context, an actuarial valuation of the Plan is required every three years. The purpose of an actuarial valuation is to examine the following :

- 1) the actuarial methods and assumptions
- 2) the financial position of the Plan; that is, the assets held, the liabilities for pension benefits, and any funding surplus or deficit, and
- 3) funding requirements from the valuation date to the next valuation date.

Valuations must be prepared both on a going-concern basis and on a solvency basis: A ***going-concern valuation*** assumes that a retirement plan will continue indefinitely. A ***solvency valuation*** (or hypothetical wind-up basis) assumes that the plan is wound up at the valuation date. A solvency valuation requires the use of a prescribed discount rate for valuing the plan’s liabilities. In periods of low interest rates, liabilities increase. Under new provincial funding rules, special payments to amortize a solvency deficit are not required if the ratio of assets to solvency liabilities remains above 85%. Under previous funding rules, special payments were required to amortize the deficit over five years. Solvency payments were material. This led to three rounds of provincial solvency funding relief measures; those measures will not be renewed.

The valuation shows that the financial position of the Plan has improved since the last valuation in 2016.

- The Plan is 93% funded on a **going-concern** basis at July 1, 2019 with a deficit of \$59.3M (compared to 88% funded with a deficit of \$80.0M at July 1, 2016).
- The Plan is 87% funded on a **solvency (wind up) basis** with a deficit of \$121.0M at July 1, 2019 (compared to 74% and a deficit of \$224.0M at July 1, 2016).

In regard to future University contributions to the Plan, there will be a modest increase to the current service cost for benefits that are being earned by Plan members. In addition, because the funded ratio on a solvency basis is 87%, above the 85% prescribed threshold for triggering payments, solvency special payments will not be required.

Legislation allows the going-concern deficit of \$59.3 million at July 1, 2019 to be amortized over ten years. However, funding of this deficit was accelerated. The University made extra lump-sum contributions to the Plan during the 2019/20 Plan year. Accelerated funding will save about \$27 million of special payments that would otherwise be required if the deficit were amortized over ten years. Improving the funded status to this extent supports benefit security. It also reduces the likelihood of future material special payments.

For more detail about the July 1, 2019 actuarial valuation please see the attached report.

#### 4. Investment of the Pension Fund

The market value of the Pension Fund at June 30, 2020 was \$1.34 billion (\$1.38 billion in 2019). External investment counsel are retained to manage the Fund. A Statement of Investment Policies and Procedures sets out the parameters for investing the Fund. It is reviewed and approved annually by the Pension Committee, and then by the Finance Committee of the Board and full Board upon the recommendation of the Pension Committee. The policy and actual asset mixes at that date were:

Asset Mix - September 30, 2020

Asset Class	% of Total Fund		Investment Counsel
	Policy	Actual	
Canadian equities	25	28	Phillips, Hager & North; MFS; Foyston, Gordon & Payne
Canadian fixed income	20	23	Phillips, Hager & North, MFS
Global large-cap equity	25	26	Alliance Bernstein, MFS
Emerging market equity	5	5	William Blair
Global small cap equity	5	4	Brandes
US high-yield debt	5	5	Mackay
Infrastructure (LPs)	15	9	Shields
			4 Limited
			Partnerships
	100	100	

#### 5. Performance of the Pension Fund

The long-term investment objective for the Fund, as set out in the Statement of Investment Policies and Procedures, is to achieve a real return of 4.1% net of fees. Fees are just under 0.5%. The investment policy recognizes that there will be volatility of returns and that the 4.1% real return may not be achieved in every year.

Carleton University Retirement Plan  
Performance at June 30, 2020

	<u>1 Q</u>	1 Year	Annualized		
			4 years	8 years	10 years
Total Return, %	9.9	-0.7	6.3	9.2	8.80
Benchmark	11.5	3.3	7.0	8.2	8.00
Value added above benchmark	-1.6	-4.0	-0.7	1.0	0.80

The Fund underperformed the benchmark for the one-year ending June 30, 2020. Capital markets were volatile during the year, as markets declined due to the pandemic in March and April, then recovered in the second quarter of 2020. Underperformance was also caused by the performance of investment counsel with a value style in both Canadian and global equities. Returns for longer periods outperformed the benchmarks.

## 6.0 FINANCIAL IMPLICATIONS

The improvement in the Plan's financial position is a welcome development. However, the Plan will remain subject to risks on an on-going basis that may result in increased contributions. The low interest rate environment and ongoing volatility in the capital markets remain a challenge. Although exogenous factors are outside our control, the Pension Committee takes steps to mitigate their impact including monitoring and review of the portfolio and the investment managers.

The Pension Committee has begun an asset/liability study to review the asset mix of the Pension Fund and impact of rate of return projections on the funded status of the Plan, future contribution requirements, and the amount of indexing on retiree pensions. The model produces a range of results, under a number of economic scenarios. Changes to the asset mix will be evaluated to see if they produce more favorable outcomes.

The Pension Committee reviews investment manager performance on a quarterly basis and more frequently if managers underperform.

The financial position of the Plan is monitored in consultation with the actuary between triennial valuations which facilitates planning for the next valuation. It also allows the Pension Committee to take defensive measures to mitigate negative financial impacts.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

This report assists the Finance Committee of the Board as it supports the University in its role as Sponsor and Administrator of the Retirement Plan.

The financial stability of the Plan is of strategic importance to the University, given its size, continued growth, and potential for volatility in funding requirements. Operational and financial risk are high. A related risk is market risk; i.e. the failure to achieve satisfactory returns due to capital market conditions, and related impairment of the assets supporting the Plan liabilities. Steps are taken to mitigate these risks through oversight and managing the Fund in accordance with prudent investment policy,

The Plan is subject to regulatory risk as well. An example of this is the required use of prescribed interest rates for solvency valuations which can result in special pension contributions. Ongoing review of legislation is in place.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

There is no reputational implication that requires a communications strategy.

**9.0 OVERALL RISK MANAGEMENT ANALYSIS**

	VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
STRATEGIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TECHNOLOGICAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# Carleton University

## Highlights of Actuarial Valuation and Funding of Carleton University Retirement Plan at July 1, 2019

### About the actuarial valuation process

Actuarial valuations are required no less than every three years for registered pension plans. Valuations set out:

- 1) the financial position of the Plan; that is, the assets (investments), the liabilities for accrued pension benefits, reserves, any funding surplus or deficit, and the reasons for changes in the financial position relative to the previous valuation,
- 2) the funding requirements (i.e. contributions) for the period from the date of the valuation (July 1, 2019) to the date of the next valuation (in this case no later than July 1, 2022), and
- 3) the actuarial methods and assumptions (for example, assumptions about investment earnings and rates of salary increases) that serve as a basis for determining both of the above.

Valuations must be prepared both on a going-concern basis and on a solvency basis:

- A **going-concern valuation** assumes that the plan continues to operate indefinitely. Reasonable assumptions about the long-term level of investment earnings, salary increases, rates of early retirement, and mortality experience are incorporated into the valuation. If a going-concern valuation reveals a deficit (i.e. accrued benefit obligations exceed the value of invested assets), special contributions are required to amortize the deficit over 10 years.
- A **solvency valuation** assumes the plan is wound up at the valuation date. The solvency valuation requires use of a prescribed discount rate for valuing the plan's liabilities. The solvency rate is based on current market interest rates. In periods of low interest rates, liabilities increase. If a plan has a solvency deficiency exceeding a certain threshold, special contributions to the plan are required over five years to eliminate the deficit. Stringent solvency rules and a short amortization period mean solvency payments can be material.

The Actuarial Report must include an Actuarial Opinion, signed by a Fellow of the Canadian Institute of Actuaries certifying that the report is correct, the assumptions are appropriate, and the actuarial methods used in accordance with accepted actuarial practice. The report is filed with FSRA and CRA.

### New Provincial Funding Rules

This valuation is prepared under new Ontario pension funding regulations. The regulations are a welcome change from the previous rules that resulted in extreme special payments for solvency funding regardless

of the likelihood of a plan sponsor becoming insolvent. The new regulations focus on strengthening plans on a going-concern basis while at the same time eliminating the need to fund solvency deficits unless they exceed a set threshold. The key features of the new regulations are:

- For the going concern valuation, the establishment of a reserve called the “Provision for Adverse Deviations (PfAD)”. This is designed to provide a cushion against negative market experiences that could cause a Plan deficit. In Carleton’s case, the PfAD is equal to 10% of the Plan’s liabilities. Plans will only be considered fully funded when the PfAD is fully funded.
- For the going concern valuation a ten-year amortization period for going-concern deficits. Previously, the amortization period was 15 years.
- For the solvency valuation, elimination of the need to fund solvency deficits unless the solvency ratio (i.e. the ratio of Plan assets to liabilities) is less than 85%. Solvency valuations will continue to be required but deficits need not be funded to 100% as was the case previously.

### **Actuarial Assumptions**

A valuation involves projecting accrued benefits and the assets that support them over the lifetime of the Plan membership. To do this, it is necessary to make certain assumptions about the future experience of the Plan. Actual experience that differs from the assumptions result in gains or losses that will be incorporated into future valuations. The following key actuarial assumptions are used in the 2019 valuation.

- Investment return of 6.0% per annum. The 6.0% is a decrease from the previous valuation that used 6.1%.
- Rate of salary increases of 4.5% per year. Unchanged from the previous valuation.
- Mortality - 90% of the 2014 Public Sector Canadian Pensioners Mortality Table (CPM2014Publ); unchanged. The mortality table is used to project the number of years over which a retiree’s pension will be paid.
- Retirement age – unchanged; assumes members retire at the later of 65 or one year after the valuation date.
- Solvency interest rate – the prescribed solvency interest rate is approximately 2.7% at July 1, 2019, slightly higher than the 2.5% rate used at July 1, 2016 but lower than the 3.3% rate used in the July 1, 2013 valuation.

### **Financial Position - Going-concern valuation**

The actuarial balance sheets at July 1, 2016 and July 1, 2019 are as follows:

	<u>July 1, 2016</u>	<u>July 1, 2019</u>	
Assets (investments)	\$ 1,104.0 M	\$1,340.0 M	
Less: Assets attributable to Money			
Purchase Accounts*	<u>(476.4)</u>	<u>(542.4)</u>	Note A
Actuarial value of assets	<u>\$ 627.6</u>	<u>\$ 797.6</u>	
Liabilities (Minimum Guarantee pension benefits)			
Active members	68.5	80.1	
Retired Members	599.3	689.9	
Reserves	<u>1.1</u>	<u>0.7</u>	
Total Liabilities and Reserves	<u>\$ 669.0</u>	<u>\$ 770.7</u>	

Surplus/(Deficit)	(\$ 41.4)	\$ 26.9	Note B
Actuarial smoothing adjustment	(\$38.7)	( 9.7)	
Provision for Adverse Deviation (PfAD)		<u>( 76.5)</u>	
Surplus/(Deficit)	<u>(\$ 80.1)</u>	<u>(\$ 59.3)</u>	Note C
Funded ratio	88%	93%	

Notes:

- A. The new funding rules require a PfAD for plans that provide defined benefit pensions. A PfAD is not required for defined contribution (also called money purchase) obligations. The Carleton Plan is an integrated hybrid plan that has features of both a defined benefit plan and a defined contribution plan. The regulator, FSRA, permits the Carleton Plan to calculate the PfAD on a basis that excludes the money purchase liabilities. An equal amount of assets is also excluded. FSRA requires the valuation to reflect the exclusion of the money purchase assets and liabilities. Note that the “bottom line”, the surplus or deficit position of the Plan is the same whether this method is used or one that includes money purchase assets and liabilities.
- B. The deficit position in 2016 and surplus in 2019 on a going concern basis prior to application of the new PfAD. The change is primarily the result of higher-than-expected investment returns in the last three years (4.1% in 2019, 7.6% in 2018, and 12.7% in 2017).
- C. This is the deficit after inclusion of the PfAD of \$76.5 M for the 2019 valuation.

**Financial Position – Solvency (Hypothetical Windup) Valuation**

	<u>July 1, 2016</u>	<u>July 1, 2019</u>
Assets (investments)	\$1,103.4 M	\$1,339.3 M
Less: Assets attributable to Money Purchase Accounts*	<u>(476.4)</u>	<u>(542.4)</u>
Actuarial value of assets	<u>\$ 627.0</u>	<u>\$ 796.9</u>
Liabilities (pension benefits)		
Active members	70.1	52.2
Deferred members	0.6	0.8
Retired members	780.0	864.9
Reserves	<u>\$ 0.0</u>	<u>\$ 0.0</u>
Total Liabilities	\$ 850.7	\$ 917.9
Surplus/(Deficit)	(\$ 223.7)	(\$ 121.0)
Funded ratio	73.7%	86.8%

The Plan has a solvency deficit as at July 1, 2019. This result was expected because the prescribed solvency discount rate is 2.7% (the rate was 2.5% in 2016). Under the new funding rules, however, the solvency deficit, at over 85%, does not have to be funded with special payments. If at a future valuation date, the ratio goes below 85%, special payments would have to be made to bring the funded ratio to 85%.

### **Funding Requirements**

Annual funding consists of two types of payments – those for current service and special payments required to amortize any deficit (also call past service cost).

### ***Current Service Cost***

The current service cost is the cost of providing one year of pension benefit. It is forward looking and based on the Plan's assumptions about investment returns, earnings growth, and mortality experience.

For the current service cost, the University is required to contribute to members' Money Purchase accounts an amount equal to 4.62% of members' earnings up to the Year's Maximum Pensionable Earnings (YMPE) as defined by the Canada Pension Plan plus 6.25% of members' earnings above the YMPE. In addition, the University contributes an amount, as actuarially determined, to the Minimum Guarantee Fund. This amount, 3.5% of pensionable earning per the July 1, 2019 valuation, is a slight increase from 3.28% in 2016).

### ***Special payments***

Special payments must be made to fund going concern and (if applicable) solvency deficits. Such deficits arise when plan experience is different from that which is assumed (for example, investment earnings higher or lower than the 6.0% assumption). Most recently, special payments of \$13.5 million annually have been made to the Plan

### ***Summary of University and Employee contributions as determined by the July 1, 2019 actuarial valuation***

Contribution requirements for the three-year period commencing July 1, 2019 is as follows:

	<u>2019/20</u>	<u>2020/21</u>	<u>2021/22</u>
Employer Money Purchase	\$12.4 M	\$13.0 M	\$13.6M
Employer Minimum Guarantee (MG), current service	8.2	8.5	8.9
Special payments (to MG) employer (note 1)	73.0	0.0	0.0
Special payments to MG Fund, employees	<u>(4.5)</u>	<u>(4.7)</u>	<u>0.0</u>
<b>Total employer contributions</b>	<b>\$89.1</b>	<b>\$16.8</b>	<b>\$22.5</b>
Employee money purchase contributions	\$11.8	\$12.4	\$12.9
Employees' special MG contributions (note 2)	<u>4.5</u>	<u>4.7</u>	<u>0.0</u>
<b>Total employee contributions</b>	<b>\$16.3</b>	<b>\$17.1</b>	<b>\$12.9</b>

**Note 1:** Special payments consist of:

Contributions between July 1, 2019 and March 31, 2020, based on 2016 valuation	\$ 6.8M
Employees' special contributions to the minimum guarantee fund	4.5
Lump-sum contribution from pension reserve to ensure solvency ratio exceeds 85%	18.0
Accelerated contribution towards going-concern deficit, based on 2019 valuation, (from pension reserve)	<u>43.7</u> \$73.0

**Note 2:** Represents employee special contributions to the Minimum Guarantee fund of approximately 2% of pensionable earnings for a ten year period ending June 30, 2021. By accelerating contributions in 2019, total payments over the next 11 years towards the amortization of the Plan deficit will be approximately \$77.7 million. For comparison, if the deficit were funded under the new provincial rules, i.e a ten-year amortization period with prescribed interest at 6% per year, the total payments would be \$104.9 million.



**Carleton University Board of Governors**

**CANDIDATE SELECTION PROCESS  
For Student Governors on the Board**

**For the 2021/22 Board Year**

## Call for Expressions of Interest

The Carleton University Board of Governors is seeking Expressions of Interest from students to be a candidate to fill four vacant positions as a Student Governor for the 2021/2022 Board Year.

The following positions are vacant:

- Two undergraduate students
- Two graduate students

The students selected by their respective student bodies to be considered for nomination to the Board, and once confirmed will serve a one-year term for the period of July 1, 2021 to June 30, 2022.

## Interested in becoming a Student Governor?

All interested candidates must do the following in order to fulfill the requirements for an Expression of Interest:

1. Meet Eligibility Requirements to be a Student Governor as set out in the [Bylaws](#).
2. Attend one of two **Board 101** sessions hosted by the University Secretary.
3. Complete the online **Expression of Interest** form no later than 4 pm on **Friday, January 15, 2021**.

Following this process, the names of eligible candidates will be presented for a vote by the respective student body (undergraduate and graduate) on January 25 and 26, to determine which undergraduate and graduate students will be presented for nomination to the Board. The election of the successful Student Governor candidates will take place at the June 1, 2021 meeting of the Board of Governors.

**Please take some time to review this document in its entirety to become familiar with the Candidate Selection Process and to determine your eligibility.**

## IMPORTANT DATES AND DEADLINES

There are a number of important dates and deadlines that you should be aware of if you are planning to submit an *Expression of Interest*. Please review them carefully to ensure that you can fulfill the commitment as exceptions to these dates and deadlines will not be made.

### IMPORTANT DATES

<b>Wednesday, January 6</b>	Call for Expressions of Interest begins
<b>Tuesday, January 12</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note only have to attend one of these sessions- either Jan. 12 or 14)
<b>Thursday, January 14</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note only have to attend one of these sessions- either Jan. 12 or 14)
<b>Friday, January 15</b>	Deadline for Submission of Expressions of Interest (4pm)
<b>Monday, January 18</b>	Validation of Student Expressions of Interest and Confirmation to Students Regarding Eligibility to Proceed
<b>Monday, January 18</b>	Candidates will be notified if they are eligible to continue in the Candidate Selection Process
<b>Monday, January 18 to Friday, January 22</b>	Campaigning Period
<b>Monday, January 25</b>	Online Voting Begins (link is activated at 10 am)
<b>Tuesday, January 26</b>	Online Voting Ends (link is deactivated at 10 pm)
<b>Wednesday, January 27</b>	Tabulation of results of Candidate Selection Process and Announcement of Successful nominees
<b>Tuesday, June 1</b>	Election for Student Governors at meeting of the Board of Governors

If you are successfully elected by the Board to become a Student Governor, you will be required to prepare for meetings by reading meeting materials seeking clarification as needed, attend all full meetings of the Board of Governors as well as any committee meetings that you may be assigned to, during the 2020/21 Board year. To see an example of what the meeting schedule is like, please visit: <https://carleton.ca/secretariat/boardofgovernors/schedule/>

## ELIGIBILITY CRITERIA TO BECOME A STUDENT GOVERNOR

Section IV, Article 4.03 of the [Carleton University General Operating By-Law No. 1](#) specifies that in order to be eligible to stand as a candidate for election to the Board, a student must:

- Be of eighteen (18) years of age;
- be currently registered as a full or part-time undergraduate or graduate student in 1.0 full credit course the semester in which the vote to become an eligible candidate is held (i.e. Winter 2021);
- continue to be registered in 1.0 full credit course as a full or part-time undergraduate student in both the fall and winter semesters of their term on the Board (i.e. Fall 2020 and Winter 2022); and
- be in good academic standing and non-academic conduct standing (the definition of good academic standing can be found at <https://carleton.ca/academicadvising/academic-standing/>, the definition of misconduct can be found at <https://carleton.ca/secretariat/wp-content/uploads/Student-Rights-Responsibilities-Policy.pdf>).

In addition to the above requirements of the [Bylaws](#), students are also required to do the following:

1. Attend one of two **Board 101** information sessions hosted by the University Secretary (see page 7 for more details).
2. Submit a completed **Expression of Interest** application (see page 5 for more details).

## THE ROLE OF A STUDENT GOVERNOR ON THE BOARD

The role of a Governor is a fiduciary one. Governors are required to act honestly, in good faith, with reasonable care and due diligence. Governors are to ensure that decisions and actions being deliberated upon at the Board level are in the best interests of Carleton University as a whole. The Board is an independent, corporate governing body of the University, having significant accountability, obligations, and duties. The Board's role is primarily related to the overall strategic and financial oversight of the University, removed from the day-to-day decision making of the University. The University's Administration presents information, seeks advice, and requests the approval of proposals by the Board of Governors. The Board members are expected to scrutinize these proposals and challenge management's assumptions while acting in the best interests of the University as a whole. The Student Governor's perspective and experiences as a student are invaluable to these discussions and deliberations. To learn more please visit: <https://carleton.ca/secretariat/boardofgovernors/governance/>

## **SKILLS AND EXPERIENCE TO BECOME A STUDENT GOVERNOR**

Student Governors ought to have the following skills:

- Excellent verbal and/or written communication skills.
- Comfort in networking and engaging with other Board members, Senior Management of the University and other high profile members of the Carleton and Ottawa communities.
- Familiarity with how to read, interpret and understand financial statements and other key reports pertaining to the operation of the University (although not required and training can be provided).
- Strong leadership, critical thinking and analytical skills.
- Ability to understand and comply with legal, ethical obligations and respect the confidentiality and privacy of information and deliberations, when warranted.

## **VALIDATION OF ELIGIBILITY**

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. This activity will take place on January 16-18, 2021. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the selection process, by the end of business on Monday, January 18, 2021.

A candidate may withdraw their Expression of Interest by submitting a signed statement to the University Secretary, at any time during the process.

Any incomplete Expressions of Interest or those submitted after the deadline will not be considered.

Should the number of Expressions of Interest be equal to or less than the number of seats available for a position, the candidate will be nominated to the Board. When the number of Expressions of Interest exceeds the numbers of seats available, an election will be held by the respective student body.

## **EXPRESSION OF INTEREST - PERSONAL STATEMENT AND PHOTO**

When you submit your Expression of Interest, you are required to include with it a brief statement that outlines why you feel you would be an excellent candidate as a Student Governor and what skills and experiences you will bring to the Board, as well as anything else that will demonstrate your suitability as a strong candidate. The statement is broken down into three questions and should be no more than 500 words in length. The statement will be posted on the Board of Governors website. Candidates are also welcome to send pre-recorded videos for inclusion with their statement on the Board of Governors website.

In addition, you will need to provide an appropriate photo of yourself, preferably a head shot, which will be posted on the Board of Governors website during the campaign and voting period. The photo and personal statement must be included in the online form.

## **CAMPAIGNING**

The election is to determine if you will be one of the candidates selected by the appropriate student body for consideration by the Board. Candidates may not campaign until they have received an official notification from the University Secretary that their Expression of Interest application has been validated. The campaign period begins on Monday, January 18, 2021 and runs through to 11:59 pm on Friday, January 22, 2021.

Each candidate will be entitled to campaign and inform the student body of their interest to be considered for nomination to become a Student Governor. The Expression of Interest statement, your photo and if you wish pre-recorded video will also be posted on the Board of Governors website.

- Campaigning is not permitted throughout the voting period (Jan. 25 & 26).
- Campaign material must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email or in person.
- Posters are not permitted in the 2020/2021 campaign period due to pandemic restrictions.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note you can use hashtag #BoGstudent21 and social media posts will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Students are welcome to discuss their passions, personal beliefs and interests.
- In-class campaigning is allowed with the permission of the professor or instructor.
- Candidates are prohibited from soliciting or accepting donations towards their campaign.
- Volunteers helping candidates during campaigning must abide all election guidelines.
- Candidates are strongly encouraged to limit spending on campaign materials, collateral, advertising, etc., to a reasonable amount.

## **GROUP ADVERTISING**

Any advertising of candidates by an official Carleton University community organization, such as CUSA, RRRA, CASG, etc. must include mention of all members of that candidate constituency. For example, CUSA may mention on its website the upcoming vote and all of the undergraduate candidates being considered, and likewise for GSA.

## **BOARD 101 INFORMATION SESSIONS**

Students who intend to submit an *Expression of Interest* MUST attend one of the two virtual Board 101 information sessions that will be held.

- **Session #1** – Tuesday, January 12 from 12 pm to 1 pm via MS TEAMS (meeting details will be provided to interested students)
- **Session #2** – Thursday, January 14 from 12 pm to 1 pm via MS TEAMS (meeting details will be provided to interested students)

You must RSVP to the University Secretary by email ([amanda.goth@carleton.ca](mailto:amanda.goth@carleton.ca)) the day before the session. If you miss these deadlines but still want to attend, please email the University Secretary as soon as possible.

It is critical that candidates who are considering running for this prestigious position fully understand their role and fiduciary responsibilities as a Student Governor. This session will cover topics such as:

- What is the Board of Governors, its mandate and responsibilities?
- What is the governance structure (bi-cameral) of the university and how does it work?
- What is the role of a Governor?
- What are some of the key governing documents and their purpose?
- What is governance and what is a fiduciary responsibility?
- What is the duty of care and obligations expected of a governor?
- What is the Expression of Interest and how to do I become a Student Governor on the Board?
- Brief question and answer period

## **VOTING**

The student bodies from both the undergraduate and graduate student community will be invited to vote from their Carleton Central account for all eligible candidates for consideration. Online voting will take place on:

- Monday, January 25 (link activated at 10 am)
- Tuesday, January 26 (link active until 10 pm)

## **TABULATION**

Tabulation of ballots will take place at 10 am on Wednesday, January 27. This process is overseen by the University Secretariat.

The results of the vote will be made available immediately following completion of the count however it is important to remember that the chosen candidates will NOT be presented to the Board for consideration as a Student Governor until the June meeting of the Board of Governors.

## **DISQUALIFICATIONS**

All candidates must represent themselves accurately in any publicity about their accomplishments, positions or any other information intended to influence or provided to voters. Complaints must be reported in writing along with any relevant documentation to the University Secretary who will determine if disqualification is warranted. Anonymous complaints will not be considered.

A candidate may request in writing a review by the Nominating Committee of any perceived irregularity in the election process affecting the candidate. The decision of the Nominating Committee is final.

## **CAMPAIGN GUIDELINES**

### **YOU MUST**

- ✓ Represent yourself accurately in any publicity with information (e.g. accomplishments) intended to influence and/or be provided to voters.
- ✓ Act consistently under all applicable university policies (e.g. Students Rights and Responsibilities).
- ✓ Report by email any prohibited activity to the University Secretary.
- ✓ Always seek the advice of the University Secretary if you are unclear about what is permissible or your responsibilities.

### **YOU CAN**

- ✓ Campaign between Monday, January 28 and Friday, January 22.
- ✓ Use electronic media such as Facebook, Twitter and other social networks, personal emails and websites. You can use the hashtag #BoGstudent21.

### **YOU CAN NOT**

- ✗ Start campaigning until you have been notified that your nomination has been accepted.
- ✗ Post campaign material without getting it approved by the University Secretary.
- ✗ Physically post posters on university property.
- ✗ Block or encourage supporters to block any doors or stairways while campaigning.
- ✗ Campaign or solicit votes in computer labs.
- ✗ Campaign or solicit votes in Residences.
- ✗ Solicit funds or accept donations towards your campaign.



**Carleton University Board of Governors**

**CANDIDATE SELECTION PROCESS  
For Administrative Staff Governors on the Board**

**For the 2021/22 Board Year**

## Call for Expressions of Interest

The Carleton University Board of Governors is seeking **Expressions of Interest** from Administrative Staff to be a candidate to fill ONE vacant position as Administrative Staff Governor for the 2021/2022 Board Year.

The following position is vacant:

- ONE ADMINISTRATIVE STAFF MEMBER

Administrative Staff selected by the administrative staff-at-large to be considered for nomination to the Board, and once confirmed will serve a THREE-YEAR TERM for the period of July 1, 2021 to June 30, 2024.

## Interested in becoming an Administrative Staff Governor?

All interested candidates **MUST** do the following in order to fulfill the requirements for an Expression of Interest:

1. Meet Eligibility Requirements as set out in the [Bylaws](#) (must be a full-time employee of the administrative staff at the University)
2. Attend one of two virtual Board 101 sessions hosted by the University Secretary; and
3. Complete the online **Expression of Interest** application form no later than 4 p.m. on **Monday, February 15, 2021.**

Following this process, the names of eligible candidates will be presented for a vote to the eligible administrative staff body on February 22 and February 23, to determine which administrative staff member will be presented for nomination to the Board. The election of the successful Administrative Staff Governor candidate will take place at the June 1, 2021 meeting of the Board of Governors.

**Please take some time to review this document in its entirety to become familiar with the Candidate Selection Process and to determine your eligibility.**

## IMPORTANT DATES AND DEADLINES

There are a number of important dates and deadlines that you should be aware of if you are planning to submit an *Expression of Interest*. Please review them carefully to ensure that you can fulfill the commitment as exceptions to these dates and deadlines will not be made.

### IMPORTANT DATES

<b>Monday, February 1</b>	Call for <i>Expressions of Interest</i> begins
<b>Tuesday, February 9</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note that you only have to attend one of these sessions – either February 9 or 11)
<b>Thursday, February 11</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note that you only have to attend one of these sessions – either February 9 or 11)
<b>Monday, February 15</b>	Deadline for Submission of <i>Expressions of Interest</i> (4pm)
<b>Monday, February 15</b>	Validation of <i>Expressions of Interest</i> and Confirmation to Administrative Staff Regarding Eligibility to Proceed
<b>February 15 to February 21</b>	Campaigning Period
<b>Monday, February 22</b>	Online Voting Begins (link is activated at 10 am)
<b>Tuesday, February 23</b>	Online Voting Ends (link is deactivated at 10 pm)
<b>Wednesday, February 24</b>	Tabulation of results of Candidate Selection Process and Announcement of Successful nominee
<b>Thursday, June 1</b>	Election for Administrative Staff Governor at meeting of the Board of Governors

If you are successfully elected by the Board to become an Administrative Staff Governor, you will be required to attend all Full meetings of the Board of Governors as well as any Committee meetings that you may be assigned to, for each of the three years of your term. To see an example of what the meeting schedule is like, please visit:

<https://carleton.ca/secretariat/boardofgovernors/schedule/>

## **ELIGIBILITY CRITERIA TO BECOME AN ADMINISTRATIVE STAFF GOVERNOR**

Section IV, Article 4.03 of the [Carleton University General Operating By-Law No. 1](#) specifies that in order to be eligible to stand as a candidate for election to the Board a governor must:

- Be of eighteen (18) years of age
- be currently employed as a continuing and/or permanent employee at the University, other than Academic Staff.

In addition to the above requirements of the bylaws, Administrative Staff are also required to do the following:

1. Attend ONE of two **Board 101** information sessions hosted by the University Secretary (see page 7 for more details).
2. Submit a completed **Expression of Interest** application (see page 5 for more details).

## **THE ROLE OF AN ADMINISTRATIVE STAFF GOVERNOR**

The role of a Governor is to act honestly, in good faith and to ensure that decisions and actions being deliberated upon at the Board level are in the best interests of Carleton University as a whole. The perspective and experience of an Administrative Staff Governor is invaluable to these discussions.

## **SKILLS AND EXPERIENCE TO BECOME A GOVERNOR**

Governors will ideally possess the following skills:

- Excellent verbal and/or written communication skills;
- Comfort in networking and engaging with other Board members, Senior Management of the University and other high profile members of the Carleton and Ottawa communities;
- Familiarity with how to read, interpret and understand financial statements and other key reports pertaining to the operation of the University (although not required and training can be provided);
- Strong leadership, critical thinking and analytical skills; and the
- Ability to understand and comply with legal, ethical obligations and respect the confidentiality and privacy of information and deliberations, when warranted.

## **VALIDATION OF ELIGIBILITY**

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. This activity will take place on Monday, February 15, 2021. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the Selection Process.

A candidate may withdraw their *Expression of Interest* by submitting a signed statement to the University Secretary, at any time during the process.

Any incomplete *Expressions of Interest* or those submitted after the deadline will not be considered.

Should the number of *Expressions of Interest* be equal to or less than the number of seats available for a position, the candidate will be nominated to the Board. When the number of *Expressions of Interest* exceeds the numbers of seats available, an election will be held by the administrative staff body.

## **EXPRESSION OF INTEREST - PERSONAL STATEMENT AND PHOTO**

When you submit your *Expression of Interest* application, you are required to include with it a brief statement that outlines why you feel you would be an excellent candidate as an Administrative Staff Governor and what skills and experiences you will bring to the Board, as well as anything else that will demonstrate your suitability as a strong candidate. The statement is broken down into three questions and should be no more than 500 words in length. The statement will be posted on the Board website.

In addition, you are encouraged to provide an appropriate photo of yourself, preferably a head shot, which will be posted on the Board of Governors website during the campaign and voting period. The photo and personal statement must be included in the online form.

## CAMPAIGNING

The election is to determine if you will be the candidate selected by the eligible administrative community for consideration to the Board. Candidates may not campaign until they have received an official notification from the University Secretary that their *Expression of Interest* application has been validated. The campaign period begins on February 15, 2021 and runs through to 11:59pm on February 21, 2021.

Each candidate will be entitled to campaign and inform the administrative body of their interest to be considered for nomination to become an Administrative Staff Governor. The *Expression of Interest* Statement and your photo will also be posted on the Board of Governors website.

- Campaigning is not permitted throughout the voting period (February 22 -23).
- Should you decide to use campaign material (i.e. social media, etc.) it must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email.
- Posters are not permitted in the 2020/2021 campaign period due to pandemic restrictions.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note that public social media and websites will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Administrative Staff are welcome to discuss their passions, personal beliefs and interests.

## GROUP ADVERTISING

Any advertising of candidates by an official Carleton University community organization or union group such as CUASA, CUPE 2424, etc. must include mention of **all** members of that candidate's constituency.

## **BOARD 101 INFORMATION SESSIONS**

Administrative Staff who intend to submit an Expression of Interest **MUST** attend **ONE** of the **TWO Board 101** information sessions that will be held.

- **Session #1** – Tuesday February 9, 2021 from 12pm to 1pm via MS TEAMS (session details will be provided in advance)
- **Session #2** – Thursday February 11, 2021 from 12pm to 1pm via MS TEAMS (session details will be provided in advance)

Please RSVP to the University Secretary by email ([amanda.goth@carleton.ca](mailto:amanda.goth@carleton.ca)). If you miss these sessions but still want to fulfill the requirement, please email the University Secretary as soon as possible.

It is critical that candidates who are considering running for this prestigious position fully understand their role and fiduciary responsibilities as an Administrative Staff Governor. This session will cover topics such as:

- What is the Board of Governors, its mandate and responsibilities?
- What is the governance structure (Bi-Cameral) of the University and how does it work?
- What is the role of a Governor?
- What are some of the key governing documents and their purpose?
- What is governance and what is a fiduciary responsibility?
- What is the duty of care and obligations expected of a governor?
- What is the Expression of Interest and how to do I become a Governor on the Board?
- Brief question and answer period

## **VOTING**

Eligible administrative staff will receive a targeted email inviting them to vote from their Carleton Central account for all eligible candidates for consideration. Online voting will take place on:

- Monday February 22, 2021 (link activated at 8:00 am)
- Tuesday February 23, 2021 (link active until 10:00 pm)

## **TABULATION**

Tabulation of ballots will take place the morning of Wednesday February 24, 2021. This process is overseen by the University Secretariat's Office.

The results of the vote will be made available immediately following completion of the count however it is important to remember that the chosen candidates will NOT be presented to the Board for consideration as the Administrative Staff Governor until the evening of June 1 at the meeting of the Board of Governors.

## **DISQUALIFICATIONS**

All candidates must represent themselves accurately in any publicity about their accomplishments, positions or any other information intended to influence or provided to voters. Complaints must be reported in writing along with any relevant documentation to the University Secretary who will determine if disqualification is warranted. Anonymous complaints will not be considered.

A candidate may request in writing a review by the Nominating Committee of any perceived irregularity in the election process affecting that candidate. The decision of the Nominating Committee is final.

## **CAMPAIGN GUIDELINES**

### **YOU MUST**

- ✓ Represent yourself accurately in any publicity with information (e.g. accomplishments) intended to influence and/or be provided to voters.
- ✓ Act consistently under all applicable University policies.
- ✓ Report, in writing or by email, any prohibited activity to the University Secretary.
- ✓ Always seek the advice of the University Secretary if you are unclear about what is permissible or your responsibilities.

### **YOU CAN**

- ✓ Campaigning between February 15 and 21, 2021.
- ✓ Use electronic media such as Facebook, Twitter and other social networks, personal emails and websites.

### **YOU CAN NOT**

- ✗ Start campaigning until you have been notified that your nomination has been accepted.
- ✗ Post campaign material without getting it approved by the University Secretary.
- ✗ Physically post posters on university property.
- ✗ Allow or encourage supporters to destroy, deface, move, cover or remove any form of publicity installed by other candidates or supporters.
- ✗ Block or encourage supporters to block any doors or stairways while campaigning.
- ✗ Campaign or solicit votes via interoffice mail, however, personal emails are allowable.



**Carleton University Board of Governors**

**CANDIDATE SELECTION PROCESS  
For Academic Staff Governors on the Board**

**For the 2021/22 Board Year**

## **Call for Expressions of Interest**

The Carleton University Board of Governors is seeking **Expressions of Interest** from Academic Staff to be a candidate to fill ONE vacant position on the Board of Governors for a three-year term for the period of July 1, 2021, to June 30, 2024.

## **Interested in becoming an Academic Staff Governor?**

All interested candidates MUST do the following:

1. Meet eligibility requirements as set out in the bylaws (must be a full-time employee of academic staff or librarian at the university)
2. Attend one of two Board 101 sessions hosted by the University Secretary; and
3. Complete the online **Expression of Interest** application form no later than 4 p.m. on **Monday, January 18, 2021.**

Following this process, the names of eligible candidates will be presented for a vote to the eligible academic staff body from February 8 and 9, 2021, to determine which academic staff member will be presented for nomination to the Board. The election of the successful Academic Staff Governor candidates will take place at the June 1, 2021 meeting of the Board of Governors.

**Please take some time to review this document in its entirety to become familiar with the Candidate Selection Process and to determine your eligibility.**

## IMPORTANT DATES AND DEADLINES

There are a number of important dates and deadlines that you should be aware of if you are planning to submit an Expression of Interest. Please review them carefully to ensure that you can fulfill the commitment as exceptions to these dates and deadlines will not be made.

### IMPORTANT DATES

<b>Monday, January 18</b>	Call for Expressions of Interest begins
<b>Tuesday, January 26</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note that you only have to attend one of these sessions – either January 26 or 28)
<b>Thursday, January 28</b>	<b>Board 101</b> Mandatory Information Session from 12pm to 1pm via MS TEAMS (note that you only have to attend one of these sessions – either January 26 or 28)
<b>Monday, February 1</b>	Deadline for Submission of <i>Expressions of Interest</i> (4pm)
<b>Monday, February 1</b>	Validation of Expressions of Interest and Confirmation to Academic Staff Regarding Eligibility to Proceed
<b>Monday, February 1 to Sunday, February 7</b>	Campaigning Period
<b>Monday, February 8</b>	Online Voting Begins (link is activated at 9 am)
<b>Tuesday, February 9</b>	Online Voting Ends (link is deactivated at 10 pm)
<b>Wednesday, February 10</b>	Tabulation of results of Candidate Selection Process and Announcement of Successful nominee
<b>Thursday, June 1</b>	Election for Academic Staff Governor at meeting of the Board of Governors

If you are successfully elected by the Board to become an Academic Staff Governor, you will be required to attend all full meetings of the Board of Governors as well as any committee meetings that you may be assigned to, for each of the three years of your term. To see an example of what the meeting schedule is like, please visit [carleton.ca/secretariat/boardofgovernors/schedule-of-meetings](http://carleton.ca/secretariat/boardofgovernors/schedule-of-meetings).

## ELIGIBILITY CRITERIA TO BECOME AN ACADEMIC STAFF GOVERNOR

Section IV, Article 4.03 of the [Carleton University General Operating By-Law No. 1](#) specifies that in order to be eligible to stand as a candidate for election to the Board a governor must:

- be of eighteen (18) years of age
- be currently employed as a continuing and/or permanent employee at the university, other than administrative staff.

In addition to the above requirements of the bylaws, academic staff are also required to do the following:

1. Attend ONE of two **Board 101** information sessions hosted by the University Secretary (see page 7 for more details).
2. Submit a completed **Expression of Interest** application (see page 5 for more details).

## THE ROLE OF AN ACADEMIC STAFF GOVERNOR

The role of a Governor is to act honestly, in good faith and to ensure that decisions and actions being deliberated upon at the Board level are in the best interests of Carleton University as a whole. The perspective and experience of an Academic Staff Governor is invaluable to these discussions.

## SKILLS AND EXPERIENCE TO BECOME A GOVERNOR

Governors will ideally possess the following skills:

- Excellent verbal and/or written communication skills;
- Comfort in networking and engaging with other Board members, senior management of the university and other high profile members of the Carleton and Ottawa communities;
- Familiarity with how to read, interpret and understand financial statements and other key reports pertaining to the operation of the university (although not required and training can be provided);
- Strong leadership, critical thinking and analytical skills; and the
- Ability to understand and comply with legal and ethical obligations and to respect the confidentiality and privacy of information and deliberations, when warranted.

## **VALIDATION OF ELIGIBILITY**

All Expressions of Interests will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. This activity will take place on Monday, February 15, 2021. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the selection process.

A candidate may withdraw their Expression of Interest by submitting a signed statement to the University Secretary, at any time during the process.

Any incomplete Expressions of Interest or those submitted after the deadline will not be considered.

Should the number of Expressions of Interest be equal to or less than the number of seats available for a position, the candidate will be nominated to the Board. When the number of Expressions of Interest exceeds the numbers of seats available, an election will be held by the academic staff body.

## **EXPRESSION OF INTEREST - PERSONAL STATEMENT AND PHOTO**

When you submit the Expression of Interest, you are required to include with it a brief statement that outlines why you feel you would be an excellent candidate as an Academic Staff Governor and what skills and experiences you will bring to the Board, as well as anything else that will demonstrate your suitability as a strong candidate. This statement should be no more than 400 words in length. The statement will be posted on the Board website.

In addition, you are encouraged to provide an appropriate photo of yourself, preferably a head shot, which will be posted on the Board of Governors website during the campaign and voting period.

## **CAMPAIGNING**

The election is to determine if you will be the candidate selected by the eligible academic community for consideration to the Board. Candidates may not campaign until they have received an official notification from the University Secretary that their Expression of Interest application has been validated. The campaign period begins on Monday, February 1, 2021 and runs through to 11:59pm on Sunday, February 7, 2021.

Each candidate will be entitled to campaign and inform the academic body of their interest to be considered for nomination to become an Academic Staff Governor.

- Campaigning is not permitted once voting has begun (February 8 & 9).
- Should you decide to use campaign material (i.e. social media, etc.) it must be submitted to the University Secretary for approval PRIOR to being used. Campaign material can be submitted at any time during the campaigning period. Submission can be done by email.
- Posters are not permitted in the 2020/2021 campaign period due to pandemic restrictions.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note that public social media and websites will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Academic staff are welcome to discuss their passions, beliefs and interests.

## **GROUP ADVERTISING**

Any advertising of candidates by an official Carleton University community organization or bargaining unit must include mention of all members of that candidate's constituency.

## **BOARD 101 INFORMATION SESSIONS**

Academic Staff who intend to submit an Expression of Interest **MUST** attend **ONE** of the **TWO Board 101** information sessions that will be held.

- **Session #1** – Tuesday, January 26, 2021 from 12pm to 1pm via MS TEAMS (session details will be provided in advance)
- **Session #2** – Thursday, January 28, 2021 from 12pm to 1pm via MS TEAMS (session details will be provided in advance)

Please RSVP to the University Secretary by email ([amanda.goth@carleton.ca](mailto:amanda.goth@carleton.ca)). If you miss these sessions but still want to fulfill the requirement, please email the University Secretary as soon as possible.

It is critical that candidates who are considering running for this prestigious position fully understand their role and fiduciary responsibilities as an Academic Staff Governor. This session will cover topics such as:

- What is the Board of Governors, its mandate and responsibilities?
- What is the governance structure of the university and how does it work?
- What is the role of a Governor?
- What are some of the key governing documents and their purpose?
- What is governance and what is a fiduciary responsibility?
- What is the duty of care and obligations expected of a governor?
- What is the Expression of Interest and how to do I become a Governor on the Board?
- Brief question and answer period

## **VOTING**

Eligible academic staff will receive a targeted email inviting them to vote from their Carleton Central account for all eligible candidates. Online voting will take place on:

- Monday, February 8, 2021 (link activated at 9:00 am)
- Tuesday, February 9, 2021 (link active until 10:00 pm)

## **TABULATION**

Tabulation of ballots will take place the morning of Wednesday, February 10, 2021.

The results of the vote will be made available immediately following completion of the count however, it is important to remember that the chosen candidates will NOT be presented to the Board for consideration as the Academic Staff Governor until the June meeting of the Board of Governors.

## **DISQUALIFICATIONS**

All candidates must represent themselves accurately in any publicity about their accomplishments, positions or any other information intended to influence or provided to voters. Complaints must be reported in writing along with any relevant documentation to the University Secretary who will determine if disqualification is warranted. Anonymous complaints will not be considered.

A candidate may request in writing a review by the Nominating Committee of any perceived irregularity in the election/nomination process affecting that candidate. The decision of the Nominating Committee is final.

## **CAMPAIGN GUIDELINES**

### **YOU MUST**

- ✓ Represent yourself accurately in any publicity with information (e.g. accomplishments) intended to influence and/or be provided to voters.
- ✓ Act consistently under all applicable university policies.
- ✓ Report, in writing or by email, any prohibited activity to the University Secretary.
- ✓ Always seek the advice of the University Secretary if you are unclear about what is permissible or your responsibilities.

### **YOU CAN**

- ✓ Campaign from Monday, February 1 to Sunday, February 7, 2021.
- ✓ Use electronic media such as Facebook, Twitter and other social networks, personal emails and websites.

### **YOU CANNOT**

- ✗ Start campaigning until you have been notified that your nomination has been accepted.
- ✗ Post campaign material without the approval of the University Secretary.
- ✗ Physically post posters on university property.
- ✗ Allow or encourage supporters to destroy, deface, move, cover or remove any form of publicity installed by other candidates or supporters.
- ✗ Block any doors or stairways while campaigning.
- ✗ Campaign or solicit votes via interoffice mail.

The Carleton Board of Governors is seeking two Community-at-Large Board members with expertise in the following fields:

- Capital Planning, Engineering and Facilities Management,
- Accounting and Finance (CPA designation), and
- Community Leadership.

### Application

The deadline for interested applicants to apply is Feb. 17, 2021.

### Term Length

The selected members will begin their initial three-year term on July 1, 2021.

### About the Board

Carleton University's Board of Governors are a diverse group of 32 volunteers with a unique understanding of higher education and its force for good. The Board is responsible for oversight of the university's governance and administration, which includes approving budgetary decisions and establishing policies. The primary function of the Carleton Board of Governors is strategic oversight that is removed from the day-to-day decision making of the university. The University's Administration presents information, seeks advice and requests the approval of proposals by the Board of Governors. All of the Board members are volunteers with the exception of the President.

Governors owe a fiduciary duty to Carleton University as a whole, which consists of a duty of care, diligence and loyalty. As fiduciaries, members of the Board must act honestly, in good faith and at all times in the best interests of the University.

### Standing Committees

There are six standing committees of the Board. Governors typically serve on one or two of these committees each year during their term.

1. Audit and Risk
2. Finance
3. Building Program
4. Advancement and University Relations
5. Executive
6. Governance

### Time Commitment

The full Board meets approximately five times each year (from September to June) for approximately three hours. Unless otherwise specified, meetings begin at 3:00 p.m. Usually, meetings will take place on campus. However, for the course of the pandemic, all board business will be conducted virtually. In addition, members typically serve on one or two of the Board's standing Committees, who each meet three to five times per year with varying dates/times.

The full meeting schedule is provided to members in advance. Governors are provided with an electronic meeting binder approximately one week in advance which includes all materials to review in preparation for the meeting.

### [Commitment to Diversity](#)

Carleton University is committed to composing a Board of Governors that reflects the diversity of Canadian society. For more information, please see the [Board Equity, Diversity and Inclusion statement](#).

To learn more about the Board and application process, please consult the website and the FAQ page.



**Carleton**  
UNIVERSITY

Canada's Capital University

**Minutes of the 161<sup>st</sup> Meeting of the Building Program Committee**  
**Tuesday, September 15, 2020 at 2:00 p.m.**  
**Via Videoconference**

**MINUTES**

<b>Present:</b>	Ms. B. Creary (Chair)	Mr. D. Greenberg
	Dr. B.A. Bacon (President)	Dr. B. Örmeci
	Mr. T. Boswell	Ms. C. Tessier
	Mr. G. Farrell	Ms. A. Tremblay (Vice-Chair)
	Mr. D. Fortin	Mr. A. Ullett
<b>Senior Management:</b>	Ms. S. Blanchard (VP, Stud. & Enrol.)	Mr. M. Piché (VP, Finance & Admin.)
	Dr. R. Goubran (VP, Research & Int.)	Dr. J. Tomberlin (VP, Academic)
<b>Staff:</b>	Ms. R. Drodge (Recording Secretary)	Ms. K. McKinley
	Ms. A. Goth	Mr. G. Nower (AVP, FMP)
	Mr. S. Levitt	
<b>Guests:</b>	Phillip Mansfield (Manger, Sustainability Programs)	

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

The chair called the meeting to order at 2:09 p.m. Members were welcomed to the first Building Program Committee meeting of the year.

**2. DECLARATION OF CONFLICT OF INTEREST**

The Chair asked if anyone on the committee felt the need to declare a conflict of interest regarding any of the items on the agenda. There were none declared.

**3. APPROVAL OF THE AGENDA**

It was moved by Mr. Ullett and seconded by Ms. Tremblay that the agenda of the 161<sup>st</sup> Building Program meeting be approved, as presented. The motion carried.

#### **4. APPROVAL OF THE MINUTES AND BUSINESS ARISING**

It was moved by Mr. Greenberg and seconded by Mr. Ullett to approve that the minutes for the 160<sup>th</sup> Building Program Committee meeting, as presented. The motion carried with two abstentions.

#### **5. ITEMS FOR DISCUSSION**

##### **5.1 Committee Terms of Reference and Work Plan**

The Terms of Reference and Work Plan for 2020/21 were circulated in advance. The details of this item were discussed at the 2020/2021 Board Orientation, prior to this meeting. No further feedback, suggestions or corrections were made. Any additional items for consideration on the work plan should be sent to the University Secretary.

#### **6. ITEM(S) FOR INFORMATION**

##### **6.1 Sustainability Plan – 2020-2025**

An executive summary, plan and presentation were circulated in advance.

The Chair noted that Carleton University's first Sustainability Plan was developed in 2013 with a view to establish key initiatives, operational improvements and engagement. Since the launch of that first plan, Carleton has made progress through a number of key programs including a university-wide Energy Master Plan which has delivered carbon emission reductions and a program to certify all renovations for sustainability features and performance. 2020 to 2025. The Sustainability Plan reflects the evolving strategic direction of the university as described in the new Strategic Integrated Plan (SIP).

The President noted that one of the SIP's main strategic directions, *Strive for Wellness, Strive for Sustainability*, is the title of the new comprehensive Sustainability Strategy. Carleton University was ranked the 2<sup>nd</sup> most sustainable university in Canada by UI Green Metrics and was ranked as 35<sup>th</sup> in the world. He stated his belief that this new plan is a comprehensive and holistic approach, engaging all parts of campus throughout its development.

Mr. Philip Mansfield, Manager (Sustainability Programs) provided an overview of the Plan. Energy use has decreased by 35% since 2005 and Carleton continues to lead in a number of operationally based aspects, such as the Zero Waste certification. The Plan allows Carleton to take its next steps towards increasing awareness across campus and the community and towards achieving the goal of zero carbon emissions by 2050.

The plan results from a year-long approach of engaging and consulting the entire campus community. The process began with a consultation phase which consisted of key themed workshops.

The entire campus community was invited to engage in these workshops, in addition to online consultations. The purpose of these consultations was to gather information on key drivers in the community.

The team benchmarked the best practices within Ontario universities and other sectors to get an idea of where the community hoped Carleton would be with regard to sustainability by 2025.

The draft plan from these initial consultations was then reviewed and shared with senior leadership. A key piece of feedback was surrounding the teaching and learning and research areas. There was a desire to make sustainability more embedded into the plan. Targeted consultations with key Departmental Leads and the Executive Team were then held. The plan was further linked to the capital advantage, the existing sustainability goals and related metrics pertinent to the university, such as the UN Sustainable Development Goals and metrics, situating Carleton's position and role within achieving global sustainability goals.

The information collected from these initial phases were then sorted into key themes pertinent to the university. The first theme identified was **Leadership**. This theme focused on promoting a culture of sustainability by embedding sustainable decision making into all actions and ensuring data transparency for reporting.

The next theme was **Teaching and Learning**. This theme focused on supporting and championing sustainability focused courses and programs and integrating sustainability practices into teaching which will help to increase the overall awareness amongst all students.

The third theme was **Research**. This theme is focused on supporting excellence in sustainability-related research and ensuring strong links between operations and research activities on campus.

The next theme was **Operations**. This theme is focused on establishing and enacting key sustainability actions towards energy reduction, zero waste, increasing campus biodiversity and sustainable travel for the Carleton community. The element of sustainable procurements and carbon emissions have been included as well, as they will become more important throughout the life of the plan. Mr. Mansfield highlighted the in-development Energy Master plan, which will be a tailor-made solution to achieving zero emissions by 2050.

The fifth theme was **Community Engagement**. This theme was focused on encouraging greater community-university partnerships and raising awareness of Carleton's story with regard to sustainability. The focus is to encourage sustainable learning throughout the Ottawa community.

The final theme outlined was **Sustainable Collaboration**. This theme was focused on encouraging greater community-university partnerships, such as with Bridgehead and Carbon 613 to ensure Carleton is taking advantage of our greater capital advantage and having the ability to advocate for change and demonstrate leadership within the region.

In conclusion, Mr. Mansfield highlighted the wider links and plans that are currently in development, such as the Energy Master Plan and the Transportation Plan. The team is also working within Facilities and Management Planning (FMP) around the Campus Master Plan, which is looking to improve not only some of the roadways, but also Carleton's biodiversity and green spaces. He briefly noted that the new Sustainability Plan provides for both formal and informal links to Carleton's key sustainability reporting already in place, such as the UI Green Metric and STARS.

A committee member asked if Carleton could look to direct support to research funding on Carbon research and sustainability. Mr. Mansfield noted that some of the key research programs already in place were highlighted in the plan. These programs are and will be pertinent to how Carleton will play a role in developing research in some of the key areas of sustainability. The team plans to work with relevant research areas so that Carleton's work is seen within the Canadian context. The President referred to universities as a type of Living Lab and noted that there is great advantage to working in a university so close in proximity to cutting edge research in fields working to improve and grow in sustainability. Mr. Goubran agreed, noting this is an opportunity for experiential learning within a real and highly equipped environment. Mr. Goubran provided the example of the Canal Building on campus, where each room was instrumented with solar panels, etc., which provides student the opportunity to work on the facility and look at the impact on energy consumption.

The Chair thanked Mr. Mansfield and the team for an excellent presentation that highlighted a very ambitious program over the next five years.

## **6.2 Update on Transportation Plan and Parking Strategy**

The Chair noted that in October of 2018, Carleton indicated its intention to conduct a campus transportation study to address the upcoming parking challenges on the horizon, in addition to the Campus Master Plan priorities in traffic infrastructure and active living.

Parsons, the consulting firm, provided recommendations to improve campus transportation infrastructure, accessibility and safety to the university. These recommendations were presented to the Building Program Committee in March of 2019 and serve to support the development of a longer-term vision for transportation on campus, along with specific projects to address traffic flow and challenges expected in the coming years.

Mr. Nower noted that Carleton is in the implementation phase of a number of recommendations from the Parsons' report. A number of these recommendations are Carleton's own initiatives, and a number of the recommendations are being addressed by working with OC Transpo.

The Raven's Road Project is scheduled for completion by the end of September 2020, which will allow for another exit and access point for busses coming on and off campus. This project will also help to supplement transportation in the 2-year shut-down of the O-Train Trillium Line. The O-Train upgrades were noted to be on schedule for the moment.

Carleton has been working with the City of Ottawa to re-configure the Bronson exit on campus. The design was noted to be 90% complete with a small delay in the planning process of the project. A pedestrian safety analysis is complete, and the project will be put out to tender in the next year. Mr. Nower noted that this work will be combined with a round-about. Mr. Nower noted that he and his team continue their work on traffic flow on campus.

It was noted that Carleton continues its work with the NCC on a potential exit from Parking Lot #6, the north end of campus. Mr. Nower also noted that Carleton has almost completed the Open Space Master Plan which will advise further on the development of a variety of areas on campus to enhance cycling, pedestrian safety and driving on campus.

A committee member applauded Carleton's discussion with the city on the re-design of campus entrances, to further the accessibility and other priorities in those areas. Mr. Nower confirmed that the Open Space Master Plan will have a large focus on pedestrian safety and accessibility.

### **6.3 Update on Future Capital Planning**

The President highlighted a number of completed Capital Projects such as the completion of the ARISE and Health Sciences Buildings, the acquisition of The Dominion Chalmers Centre and the Nicol Building which is under development. These projects marked a phase in Capital Planning on campus, which will soon come to completion.

The President provided the committee with a highlight of four Capital Projects in planning phases. The first project is the Wellness Hub and Aquatics Centre, which has a complete project design. An opportunity to secure federal funds was not successful as the fund was oversubscribed by ten to one. The university will continue to seek funding opportunities. With the current pool at its end-of-life, he noted that this project is needed. As part of a later phase of the Wellness Hub, upgrades to the University Centre are also planned.

The second project is an additional building for the Faculty of Engineering and Design. This project is focused on energy efficiency and sustainability, which is an area of strength and focus at Carleton, a main focus within the SIP, and a significant priority with the current federal government. This project is ready to begin once funds become available.

The third and fourth projects noted were the Replacement Parking Garage for Parking Lot #9 and the new Residence Building.

The President advised that Carleton needs to be fluid and flexible with regard to future Capital Planning Projects, as the impacts of COVID-19 on the university and the sector have yet to be fully realized and need to be closely monitored. The goal is to always have projects ready to submit for potential funding opportunities.

A committee member asked how the university goes about finding funding opportunities for infrastructure projects. The President noted that Carleton is always in search for funding opportunities. There are national and provincial organizations such as Universities Canada help inform universities of funding opportunities. The President noted the importance of the new Director of Government Relations. The President noted the program called Knowledge Infrastructure program, which funded Carleton's Canal and Richcraft Hall Buildings. The second well known program was the Strategic Infrastructure Fund, which funded the ARISE Building. There is hope that similar funding will become available for infrastructure projects such as Carleton's Sustainability and Energy Efficiency Engineering and Design Building, which could assist in economic recovery.

**7. OTHER BUSINESS**

There was no other business arising.

**8. IN-CAMERA SESSION**

An in-camera session was held.

**9. ADJOURNMENT**

There being no further business, it was moved by Ms. Tremblay and seconded by Mr. Fortin to adjourn the meeting at approximately 2:54 pm.

**Minutes of the 303<sup>rd</sup> Finance Committee  
Tuesday, September 15<sup>th</sup>, 2020 at 11:00 a.m.  
Via Videoconference**

<b>Present:</b>	Ms. D. Alves (Chair)	Ms. M. Fraser
	Dr. B.A. Bacon	Ms. C. Gold
	Mr. G. Farrell	Ms. L. Honsberger
	Mr. K. von Finckenstein	Ms. N. Karhu
	Mr. D. Fortin	Dr. J. Malloy
	Ms. F. Foroutan	
<b>Staff:</b>	Ms. S. Blanchard	Ms. A. Marcotte
	Ms. R. Drodge	Ms. N. Merriman
	Dr. L. Dyke	Ms. K. McKinley
	Ms. A. Goth (Recording Secretary)	Mr. J. Mihalic
	Dr. R. Goubran	Mr. M. Piché
	Mr. T. Lackey	Mr. T. Sullivan
	Mr. S. Levitt	Dr. J. Tomberlin
	Mr. K. Mann	

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

The meeting was called to order at 11:00 a.m. The Chair welcomed all committee members and Carleton's executive and financial team to the meeting. A brief reminder was provided to the members of the videoconferencing protocols for meetings on MS Teams.

**2. DECLARATION OF CONFLICT OF INTEREST**

The Chair asked if any members needed to declare a conflict of interest regarding any of the items on the agenda. No conflicts were declared.

**3. APPROVAL OF AGENDA**

It was moved by Ms. Honsberger and seconded by Mr. Fortin to approve the agenda for the 303<sup>rd</sup> meeting of the Finance Committee, as presented. The motion carried unanimously.

#### **4. APPROVAL OF THE MINUTES AND BUSINESS ARISING**

##### **4.1 Minutes of Previous Meeting**

The minutes of the 302<sup>nd</sup> meeting of the Finance Committee were circulated in advance.

It was moved by Dr. Malloy and seconded by Ms. Honsberger that the minutes of the 302<sup>nd</sup> meeting of the Finance Committee be approved, as presented. The motion carried with three abstentions.

#### **5. ITEM(S) FOR INFORMATION**

##### **5.1 Update on 2020/2021 Operating Budget**

An executive summary and presentation were circulated in advance.

The Chair outlined, as part of the 2020/2021 budget approved by the Board of Governors, management committed to provide the Finance Committee with updated operating and ancillary budgets. Last May, management presented the Finance Committee with an assessment of the financial impact of COVID-19 on operations and ancillary services. The assessment found that management was confident that the University would be able to manage the COVID-19 disruption within available resources. The Board approved the 2020/2021 budget with the caveat that in light of the current public health crisis and associated fiscal uncertainties, new discretionary allocations (\$23 million) were on hold until greater clarity could be achieved. Lifting the hold requires a recommendation from the Finance Committee for approval by the Board.

The President noted that Carleton was currently surpassing the projected optimistic scenario presented to the committee. Although there was much work still needed to be done, the decision to move the semester online was proving to be the right decision for the university. As Tuition and fee payments were still being collected at this time, a recommendation on lifting the hold would await until a greater understanding of the financial impacts are known.

Jerry Tomberlin, Provost and Vice-President (Academic) and Michel Piché, Vice-President (Finance and Administration) then provided a presentation.

The Fall enrollment numbers for Carleton (as of August 28, 2020) indicated total projected Fall registrations of 31,450, a small reduction from the 2020-21 target. The fall registration mix comprises lower new first-year enrollment of 8.5%, which is offset by higher overall returning students of 3.8%. These numbers are in addition to the increased 2020 summer course enrolment of 32% over 2019, which generated additional tuition revenues of \$6.9 million. While final paid registrations (expected by the end of September), and still to be confirmed winter enrolment numbers, management remains confident that it will be able to generate revenues well within the optimistic scenario presented to the Finance Committee.

Provincial government operating grants are expected to remain stable in 2020-21 as the University is within the funding corridor. The activation of performance-based funding from the Strategic Mandate Agreement (SMA 3) has been delayed until 2022-23. On the expenditures side, the University has paused spending on certain discretionary expenditures worth \$23 million, with exceptions approved by the Provost Budget Working Group (PBWG). Items that were approved included spending to support Teaching and Learning transition to online, investments in software and equipment, support for research related to COVID and approval of professional staff positions in the areas of academic labour relations, research facilitators, health and safety and student success. Expenditures are being monitored month-to-month to ensure control over operating expenditures with compensation steady as expected but there are fluctuations in day-to-day expenditures for equipment and supplies.

There are lower operating spending for expenses such as travel but higher spending in student support, strengthening of online course delivery and research support. In addition, the University has set aside a COVID-19 contingency fund of \$27 million to cover additional expenditures required to mitigate the financial costs of the pandemic. COVID-19 related commitments and expenses include Teaching and Learning services, additional cleaning, personal protective equipment and return to work supplies, student travel to return home, emergency student funding, scholarship funds for international students studying at a distance, co-op placements on campus and equipment for staff to work from home. Of the \$27 million in the COVID-19 contingency fund, \$3.4 million has been spent as of July 31, 2020.

The decision to move online for the Fall 2020 semester has provided a safe environment for students, faculty and staff. It was noted that moving to an online learning model presents some pedagogy and enrolment risks, although a material impact has not yet been seen on overall registrations. However, the 10% reduction in new full-time first-year student registrations is expected to have an impact on future tuition revenues. The reduction was due to International new students were impacted by travel restrictions and a lower than expected new domestic students due to other universities relaxing their entrance requirements for 2020/2021.

The internally restricted assets were outlined, and it was indicated that they are being funded at an appropriate level. It was noted that a \$60 million special payment was made from the pension liability reserve in March 2020 to cover actuarial pension liability. Overall a healthy financial base is being maintained which will help the university to maintain financial stability.

It was noted that another way the university is monitoring expenditures is through month-to-month cash flows and expenditures remain stable.

A member asked about the discrepancy in figures on enrolment scenarios which stated in the optimistic scenario -10% enrolment with net tuition revenue of -2.9M but in the current scenario of -6.9% the net tuition revenue of -4.2M. Mr. Piché responded that tuition revenue can change significantly depending on the program mix with some programs having higher tuition than others.

It was asked why a payment of \$60 million was made to the Pension Reserve. Mr. Piché responded that an actuarial valuation was completed in 2019, which was in the context of new

government regulations on pension funding requiring universities to fund a Provision for Adverse Deviations (PfAD) in the marketplace which could account for up to 10% of the portfolio to provide a cushion for pension liabilities. The Chair noted that no additional special payments will be needed now until potentially the next actuarial valuation in three years' time.

It was asked where the funds for the COVID contingency funds are originating from. Mr. Piché responded that The COVID contingency fund was established from the operating surplus from the 2019/2020 budget results and other surpluses that were not utilized.

The Chair noted that the operating budget is in good shape with sufficient reserves and cash balances to meet all of its commitments in this challenging situation. Final enrolment numbers will be known in the late fall at which time the Finance Committee will consider management's recommendation on lifting the freeze on discretionary spending. She thanked the whole team for their efforts and ability to manage within the available financial resources.

## 5.2 Update on 2020/2021 Ancillary Budget

An executive summary, report and presentation were circulated in advance.

Michel Piché, Vice-President (Finance and Administration) introduced Kevin Mann, Director of Finance and Operations (Procurement Services) who provided a presentation.

As a result of the COVID-19 pandemic, the majority of ancillary operations have been adversely impacted. Revenue generating activities have been significantly reduced due to the nature of in-person services and revenues based on user fees. In addition, fixed costs such as facility maintenance, contractual arrangements, debt-servicing costs, full-time labour, and planned major renovations are ongoing and remain significant. Variable costs related to usage and casual labour have decreased accordingly, but not enough to offset the decrease in revenue.

Due to the Pandemic, the Ancillary Services Budget approved in March no longer reflects expected financial results for this year. The budgeted surplus of \$1.7 million is now projected to become a deficit of \$33.8 million. The main contributors to the projected deficit are Housing, Dining, & Conference (\$20.8 million), Physical Recreation & Athletics (\$6.5 million), and Parking Services (\$4.4 million). Additional contributors to the projected deficit are Health and Counselling (\$66,000), Print Shop (\$0.9 million), Bookstore (\$150,000), Carleton Dominion-Chalmers Centre (CDCC) (\$90,000), University Centre (\$1 million), National Wildlife and Research Centre (NWRC) (break-even), and the Ancillary Capital Fund (ACF) (\$168,000).

In Housing, Conference and Dining there has been a significant decrease in the demand for student accommodation to 1,300 students in residence versus budgeted amount of 3,600 students. All summer accommodations and events were suspended (loss of \$3 million). Conference Services developed plans to return select hybrid events to campus (combination of small in-person groups with streaming). Dining Services has implemented plan for limited services to operate with mobile ordering options as well as the addition of turnstiles within the cafeteria for access control. The financial impact is that student fees and commission will be significantly lower. All discretionary spending has been reduced or eliminated to the extent possible but the

majority of the remaining costs relate to facilities which will continue to be in use and must be maintained. Any savings experienced will likely be used to offset the requirements during the pandemic such as cleaning costs. The original projected surplus for Housing, Conference and Dining Services of \$12 million which was earmarked for investment in a new residence, is projected to be in a deficit situation of -\$8 million within the portfolio.

In Physical Recreation and Athletics, all facilities were closed in the spring with limited summer activities such as camps and athletic services by appointment and rental. Student athletic fees were not charged during the summer term and will be charged at 50% for the Fall and Winter terms. This portfolio is also projected to be in a deficit position of \$6.5 million by year-end limiting the ability to address deferred maintenance and new infrastructure initiatives.

Parking Services has experienced a significant decline as fees have not been charged since Spring 2020. The university continues to implement the transportation master plan with planning phases of a P9 replacement parking garage which needs to be decommissioned. This portfolio is also projected to be in a deficit position of \$4.4 million by year-end limiting the university's ability to address the decommissioning and replacement of P9.

Health and Counselling Services has been closed for in-person appointments since the Spring however clinic services have been offered primarily virtually. Overall physician visits are down in 2020 however, counselling services continue to be in high demand (increase of 21%). The student health fee will continue to be charged however due to the decrease in physician visits there is projected to be a decrease in insurance and other revenue. There is projected to be a small loss within the portfolio however there are sufficient reserves to cover the deficit in 2020/2021.

The Print Shop has had a significant decline in demand for services, however, has been very supportive in the return to work on campus including printing directional signage and stickers. Clients continue to be supported through curbside pick-up. Campus Cards and UPass's continue to be distributed with a virtual cueing. The demand for both cards has significantly declined since the majority of students are online. Expenses have been reduced as much as possible but there is projected to be a significant deficit in the portfolio which will erode the accumulated surplus.

The Bookstore has been closed since Spring but does have a robust e-commerce model that has been used throughout the summer with the retail location re-opened as of August 2020 with continued focus on e-commerce from off-campus. Communications and marketing have been a main focus making sure instructors know that the Bookstore is open and how to send their textbook adoption information and ensuring students are aware of how to procure their educational resources. The portfolio is projected to have a small deficit at year-end.

The Carleton Dominion-Chalmers Centre has also been closed since spring 2020 which is significant since 70% of revenues are generally earned between May to April annually. Revenues are projected to be significantly decrease with expenses largely unchanged due to infrastructure and staffing needs. The accumulated surplus will be used to cover the projected deficit which will limit the ability to complete necessary reinvestment in renovations.

The University Centre and NWCC Building are rental properties with operating costs projected to remain relatively fixed. The Ancillary Capital Fund is projected to remain in a surplus position by year-end with the ability to cover upcoming debt repayment.

Based on existing assumptions, ancillary services are projecting operating losses of \$8.6 million in 2020-21, compared to a surplus of \$24.9 million in the approved budget. This level of operating losses will not provide sufficient liquidities to cover the ancillary services debt repayment, deferred maintenance, and capital projects, worth \$25.2 million, leaving ancillary services with a net deficit of \$33.8 million.

Although Ancillary Services had accumulated surpluses of \$40.8 million at the end of April 2020, these funds are required to cover a backlog of deferred maintenance projects estimated at \$124.0 million, along with capital investments to cover down-payments for the new residence, the new parking structure, and a potential Wellness Centre.

The current pandemic will significantly weaken the Ancillary Services financial position with increased operational, financial and reputational risks.

Carleton's Ancillary Services are an essential part of the student experience at Carleton and support the campus community with a wide range of activities. The financial impact of the COVID-19 disruption on ancillaries has been immediate and material. In order to maintain sustainable operations in years to come, ancillaries will require financial support from the University, particularly in areas of infrastructure renewal and new capital projects.

The Chair mentioned that she received a letter from a governor regarding the viability of charging students the Athletics fee of \$102.30 and requested that the committee consider a reduction of this fee. Prior to receiving this letter, management had considered the fee and proposed a reduced the Athletics fee to 50% for the Fall 2020 and Winter 2021 terms to recognize that facility usage will be down because of the pandemic and the majority of students are living off campus. The Chair noted with the 50% reduction Athletics is still projected to be in a deficit position at year-end. Ms. Blanchard, Vice-President (Students and Enrolment) commented that the decision for the reduction was made by the COVID-19 Steering Group and next steps include the logistics of refunds to student's accounts and a communications plan.

It was asked what options management would be considering in terms of financial support for Ancillary Services in the future. Mr. Piché responded that in the short-term Ancillary Services will be asked to use the accumulated surplus to cover any operating deficits with hope that revenues will increase in 2021/2022. The university can likely help in terms of deferred maintenance projects or new capital projects because the university does have a capital reserve fund which could be used for this purpose through a loan or contribution. For some of the smaller ancillary services internal loans could be arranged for short-term deficits.

A member asked if Ancillary Services are commonly operated separately from a university's operating budget. Mr. Piché responded that generally government grants cannot be used to fund

Ancillary Services which limits the university's ability use the funds for those purposes. Student's pay fees for Ancillary Services and those fees are to cover the services provided from the ancillary units. The Ancillary Services are not in place to gain a profit but they must have enough accumulated surplus to make re-investments and pay down debt (mortgages). The approach to separating operating from ancillary is the same approach used across all Canadian universities.

A member asked if the assumptions used in the projections included a second-wave of the pandemic. Mr. Mann responded that the projections assume the pandemic will continue until the April 30, 2021. If there is a second-wave to the pandemic health and safety procedures have been implemented to help manage the spread.

### 5.3 Financial Report for Fiscal Year 2019/2020

An executive summary, report and presentation were circulated in advance.

The Chair outlined that the Annual Financial Report is submitted to the Finance Committee for review and discussion of financial results, including an analysis of performance against budget. Net results show consolidated net excess revenue over expenses of \$40.2 million.

Michel Piché, Vice-President (Finance and Administration) provided a presentation.

The Financial Report includes a management discussion & analysis section, a review of financial performance against budget, and Carleton's draft audited financial statements.

For the fiscal year 2019-20, the University generated consolidated excess revenue over expenses of \$40.2 million. Total enrolments increased 0.2% over the previous year. When compared to the operating budget, this surplus reflects timing differences in the recognition of operating expenses such as: investments in capital assets (\$25.3 million); increased employee future benefits expense (68.9 million); internal contributions to endowment funds (\$4.7 million); and, a partially offsetting reduction in appropriations (\$58.1 million). New appropriations of \$16.4 million were made for a strategic reserve for pandemic planning. The long-term debt of the university was \$59.3 million versus \$63.4 million in 2018-2019.

Consolidated revenue of \$665.8 million was down 5.3% from the previous year while consolidated expenses of \$625.6 million increased by 4.2%. There was a 51% decrease in investment income (due to the COVID 19 effect on markets) as well as the 3.7% decrease in tuition revenue (affected by the government mandated 10% reduction in domestic tuition fee rates) were the main contributing factors. Government grants declined by 4.8% mainly due to a one-time grant received in 2018-19 for the purchase of the Dominion Chalmers Church property. Research grants and contracts recognized in the financial statements increased by \$7.6 million or 12.0% over the previous year, while deferred research revenues climbed from \$7.8 million to \$46.3 million, reflecting the success of Carleton's efforts to expand research activities. Salaries and benefits are the largest part of the university's consolidated expenditures at \$394.2 million or 63.0% and showed an increase of \$18.9 million over 2018-19.

The university's net assets decreased by \$156.0 million to \$947.0 million, or 14.1% lower than the previous year. This decrease reflects the \$40.2 million excess of revenues over expenses, offset by the \$195.0 million negative adjustment for employee future benefits.

The negative effects of the pandemic on benefit obligations were two-fold. The market value of the assets supporting the pension fund saw a reduction of \$152 million during the year, and the discount rate used to value the liabilities decreased, which ultimately increases the calculation of the future benefit obligation.

During the year, \$56.4 million was invested in capital assets, which saw the completion of the Health Science Building, the Advanced Research and Innovation in Smart Environments (ARISE) facility and a Cogeneration plant.

Endowed net assets reached \$298.6 million at the end of 2019-20, after \$11.7 million of income being distributed. Donation revenue recognized during the year amounted to \$14.1 million, a decrease of \$6.0 million from the previous year. In addition, donor contributions to endowment funds amounted to \$8.3 million, a decrease of \$2.7 million over 2019-20.

A question was asked about how reserves are managed year-to-year at the university. Mr. Piché clarified that individual Resource Planning Committees (RPCs) have reserves that accumulate over time and are carried forward year-to-year. Other reserves such as the Capital Reserve, Pension Fund Reserve, etc. they are managed centrally and for financial statement purposes are included in internal restricted funds and get appropriated annually.

It was clarified the central operating expenses include amongst others pension payments, benefits, utilities, salary increases, student support (scholarships),. It was mentioned that moving to an RPC model for these expenses is being considered.

#### 5.4 2018-2019 Provincial Metric Ratios

A presentation was circulated in advance.

Michel Piché, Vice-President (Finance and Administration) provided a presentation.

It was noted that the metrics are always a year behind since they are calculated from each university's final financial statements. The financial metrics have been an essential tool for the government to monitor the financial health of the Ontario post-secondary sector and are referenced in the Strategic Mandate Agreement discussions.

For Carleton the financial ratios were reported to be above the provincial average. The viability ratio which is an indicator of an institution's financial healthy, as it provides an indication of the funds on hand that can be used should an institution be required to settle its long-term obligations for Carleton is 813.3% compared to the Ontario Average of 129.1%, significantly above average.

## **6. ITEM(S) FOR INFORMATION**

### **6.1 Review of Terms of Reference and Work Plan**

The terms of reference and work plan were circulated in advance.

This item was previously discussed with the Finance Committee at the 2020-21 Board Orientation on Sept 10<sup>th</sup>, 2020. Members were asked to review the work plan and send any changes or feedback to the University Secretary.

## **7. OTHER BUSINESS**

No additional business was raised.

## **8. IN-CAMERA SESSION**

An in-camera session was held with and without the President and University Secretary.

## **9. ADJOURNMENT**

It was moved by Ms. Karhu and seconded by Ms. Alves to adjourn the meeting at approximately 12:57 p.m. The motion carried unanimously.

**Minutes of the Joint Meeting of the Finance and Building Program Committee  
Thursday, Sept 15<sup>th</sup>, 2020 at 1:00 p.m.  
Via Videoconference**

**MINUTES**

<b>Present:</b>	Ms. B. Creary (Chair)	Ms. C. Gold
	Ms. D. Alves (Chair)	Mr. D. Greenberg
	Dr. B.A. Bacon	Ms. L. Honsberger
	Mr. T. Boswell	Ms. N. Karhu
	Mr. G. Farrell	Dr. J. Malloy
	Mr. D. Fortin	Dr. B. Örmeci
	Mr. K. von Finckenstein	Ms. C. Tessier
	Ms. M. Fraser	Ms. A. Tremblay
	Ms. F. Foroutan	Mr. A. Ullett
<b>Staff:</b>	Mr. B. Billings	Mr. S. Levitt
	Ms. S. Blanchard	Ms. A. Marcotte
	Ms. R. Drodge (Recording Secretary)	Ms. K. McKinley
	Dr. L. Dyke	Mr. G. Nower
	Ms. A. Goth	Mr. M. Piché
	Dr. R. Goubran	Mr. T. Sullivan
	Mr. T. Lackey	Dr. J. Tomberlin

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

The meeting was called to order at 1:00 pm. Ms. Beth Creary, Co-Chair, welcomed all committee members and staff to the first Joint meeting of the Finance and Building Program Committee. She acknowledged land of the Algonquin Nation who's traditional and unceded territory the members have gathered upon throughout Ottawa for the meeting.

Ms. Debra Alves, Co-Chair, also provided a welcome. She reminded the members of the Finance committee of their role to provide financial oversight of the financial management of the university's activities. She noted her pleasure in working with the Building Committee, as there \$245.4 Million of Capital projects on the way in addition to the contemplation of additional new structures.

The meeting began with a brief review of videoconference meeting protocols.

## **2. DECLARATION OF CONFLICT OF INTEREST**

Ms. Creary asked if anyone on the committees felt the need to declare a conflict of interest regarding any of the items on the agenda. There were none declared.

## **3. APPROVAL OF THE AGENDA**

It was moved by Mr. Ullett and seconded by Ms. Honsberger that the agenda of the Joint meeting of the Finance and Building Program Committees be approved, as presented. The motion carried unanimously.

## **4. APPROVAL OF THE MINUTES AND BUSINESS ARISING**

The minutes from the previous meeting of the Joint Finance and Building Program Committees on April 16, 2020 were circulated in advance.

It was moved by Mr. Ullett and seconded by Ms. Honsberger that the minutes from the meeting of the Joint Finance and Building Program Committees on April 16, 2020 be approved, as presented. The motion carried with five abstentions.

## **5. ITEM(S) FOR DISCUSSION**

### **5.1 Replacement Parking Structure for P9**

An executive summary and presentation were circulated in advance.

As P9 is coming towards its end of life and needs to be decommissioned, preliminary discussions on replacing the structure have begun. The president noted the issue's complexity, especially during these unprecedented times. Careful consideration on this issue is needed at this time, as Carleton continues to deal with COVID-19. He noted that it is imperative to continue to consider how the situation will affect campus and the university's finances. The President reminded the committee of the O-Train's upgrades currently underway, which has also affected both parking and transit needs, Carleton's Transportation Strategy and commitment to various modes of more sustainable transportation on campus. Preliminary discussions include topics of timing, location and finances of this future project.

Mr. Michel Piché, Vice-President (Finance and Administration) noted that P9 was built in 1969 and is deteriorating faster than expected. The lasted assessment received from the engineering consulting firm indicated it will need to be decommissioned by 2024. The lot holds approximately 650 parking spaces, including those for visitors and those with accessibility requirements. There are plans for the lot to be functional until the decommission date, but there are significant maintenance fees of \$1M annually.

Following the engineer's report, the university begun working on different options to construct a new parking structure. Carleton experienced a reduction in parking with the development of the Health Science Building and Nicol Building. Reductions will continue as Carleton continues to build on existing parking lots.

Mr. Piché noted that a full report on the project will be brought to the committee in November.

Mr. Brian Billings, Director of Campus Safety Services, provided a presentation introducing a discussion on the need of a new parking structure to replace the P9 parking garage. Between all of Carleton's current parking options, there exists a total of approximately 4,500 parking spots on campus. Over the years, parking has moved to the periphery of campus making the campus core more pedestrian and cyclist friendly. As the campus continues to grow, meeting the needs for accessible parking is a primary focus but one that will become challenging. Although these needs have been met for now, a growing demand challenges Carleton's supply of this parking. The P9 parking garage has an important place within Carleton's Parking Strategy, especially given the loss of the P2 Parking Lot for the construction of the Health Science Building and the Nicol Building.

The current challenge is to maintain a balance between the diminishing supply and growing demand for parking. With the loss of about 650 spots due to the decommissioning of P9, this challenge is set to only increase. Continued construction and building footprints on parking lots is set to continue in the future, which will also reduce Carleton's parking inventory.

The decommissioning of P9 by 2024 is backed by extensive engineering studies and parking requirements supported by studies from EY and Parsons. These details are detailed in various planning documents, such as the Campus Master Plan, Parking and Transportation Management Plan, and the Open Space Master Plan. The rationale provided for a replacement structure is to provide parking spots where they will be lost, knowing that reductions to the parking inventory have been made and will continue to be made over the coming years with various other capital projects in development such as the Wellness Centre.

Replacement options were outlined to include:

- A new parking structure on P3 or P6
- A P18 expansion
- Surface parking expansion at the north-end of campus

No replacement was noted to be an option; however, not a practical solution. This decision would force approximately 800 permit holders (staff, faculty and students) to find off-campus parking accommodations. There are no large parking areas located nearby off-campus. It was also noted that visitor and accessibility parking availability would be affected with the decommissioning of P9 as it is near key facilities.

The team has looked at three primary instruments in the overview of this project to further guide the design, construction elements and options: deliverables, sustainability and desirability. For the deliverables, the new parking structure to replace P9 would add an 800+ stall parking garage complete with Campus Safety Services Office space, Emergency Operations Centre and Training Space. Sustainability best practices include an energy efficient design complete with solar panels for power generation and recovery, electric vehicle parking with integrated chargers and bicycle storage facilities. Desirability would have the team consider another potential gateway or landmark building on campus. The new facility support increased traffic to campus as the university continues to grow. It was noted that FMP and Parking Services will look to collaborate with other departments and faculties on campus on this project to future-proof the facility for mixed-use occupancy options. A tie-in to the underground tunnel system was noted to

be an ideal addition to the design, as it would create an addition and significant entry to the campus tunnel system for accessibility requirements.

Long-term financial assumptions have been identified, that are believed to ensure the financial stability of parking while remaining competitive in the marketplace. It was noted that a normal operating year has been assumed in first-year of operations (2024-25). To fund a new parking facility, effective in the year of 2024-25, it was noted that parking rates on campus would increase 5% annually. It was noted that current Carleton parking rates are under market compared to uOttawa and Algonquin. Other fees would increase by 3% annually and it is expected that overall expenses would increase by 2.5% annually. The impacts of COVID-19 have been assumed to be minimal in the year of 2021-22.

A Pro-Forma Financial Projection was prepared in order to consider the financial impact of replacing P9 starting in 2024-25 to support expected replacement capital. Mr. Billings and his team are confident that the projected annual surplus available would cover the additional debt related to the new structure.

Carleton is currently at functioning capacity for current parking supply. Parking services is looking to maintain the parking inventory on campus to address parking needs on campus. Mr. Billings noted that a new facility will need to be in place by the decommissioning date of P9 in 2024. It was noted that Parking Services is currently in a strong financial situation to fund the project, even though it is expected that the COVID-19 disruption will affect the levels of accumulated surplus available. It is believed that ongoing financial projections will provide sufficient recourses to support a new parking structure.

A design consultant, Moriyama & Teshima Architects (MTA) have been retained to assist FMP and Parking Services with the functional design for a replacement parking garage facility. MTA is set to develop a design that will accommodate 850 parked vehicles, facilitate new integrated office space for Campus Safety Services and an Emergency Operations Centre (EOC) for the University. A proposed design and business case will be presented to the committees in November of 2020. Various options and costing will also be reported at that time.

A committee member asked for, in the next update to the committee include more challenging financial assumptions. For example: if Carleton cannot increase parking rates by 5% and what if the impacts of COVID-19 last beyond the current projections. Mr. Billings noted that this request will be fulfilled at the update in November.

A committee member asked for an update to the financial projection of the annual surpluses at the November meeting, as it currently looks like CSS can use it to cover the debt. They would like to see the change in the numbers compared to where we are today. For example: remove current expenses and revenues of existing P9 garage, and comparing it to the new revenue, expenses and debt service projections of the new facility. The member would like to see what the net impact on Carleton's cash flow is (positive or negative) on an annual basis.

A member asked if there was a desire to increase parking inventory due to parking spot reductions and further reductions planned due to future infrastructure projects. Mr. Billings noted that Parking Services has received guidance from the Parking and Transportation Management Plan to maintain Carleton's current parking inventory rather than to grow it. Public transportation

will be enhanced when the upgrades to the Trillium Line are complete. It is expected that some demand for parking may be addressed. Mr. Piché noted the importance of considering the potential location of this replacement in addition to if Carleton could afford a replacement in the near future, especially in the wake of COVID-19 financial impacts. Mr. Piché noted that surplus projected to pay for the new parking facility will no longer exist, due to the financial impacts of COVID-19. Various financial scenarios and options will be presented to the committee in November, which will help members to understand the sensibility of the new structure.

A committee member asked about the expected life expectancy of a new parking structure. Mr. Billings noted that the team is looking for the life expectancy to be around 50 years. The team will have a better idea once the design team is engaged and a more fulsome design has been developed. A projection for the maintenance costs of a new facility will also be presented in the business plan.

A committee member asked if alternative project delivery services or approaches to replace the lost parking inventory with the decommissioning of P9 have been considered. For example: outsourcing parking to off-campus organizations with large parking availability. Mr. Piché noted that alternate options have been reviewed and yes, if the option is to put the lot off campus, outsourcing would be the answer. However, there exists two advantages to having the replacement parking located on campus: 1) Carleton would not have to pay development tax which would be considerable given the project and 2) Carleton would be able to borrow long-term at the rate similar to any other third-party organization. It was noted that these two advantages make it difficult to justify seriously considering off-campus parking in place of a P9 replacement facility.

A member asked how this new project fits within the priority list of capital projects in development. The President noted that within post-secondary institutions, capital projects evolve with a mix of preparation and opportunity as they often rely on federal funding opportunities. Carleton has a number of project ready to go, so that when the funding opportunities arise, they are ready to be implemented. The President noted that a full update on current capital projects will take place in the Building Program Committee meeting. In a period of uncertainty, no capital plan is firm and ready to move directly into development. Mr. Piché noted that the parking garage fits under the deferred maintenance category as it is necessary to replace aging infrastructure.

Another member asked if Mr. Piché intends to test the market to look for financing and ensure a willingness to lend to Carleton should the opportunity present itself. Mr. Piché noted he will ask Tim Sullivan and his team to begin looking at financing options in the marketplace. Mr. Piché noted that he will return to the committee in November with an update.

## **6. ITEMS FOR INFORMATION**

### **6.1 Ongoing Capital Projects Status Reports**

An executive summary was circulated in advance, as well as two project closure reports.

Capital projects totaling of about \$245.4 million are currently underway. As of July 31, 2020, total expenditures incurred and value of work completed totaled \$191.8 million, with forecast spending of \$58.6 million.

Mr. Gary Nower, Assistant Vice-President (Facilities, Management and Planning) provided an update on ongoing capital projects. He noted that the Co-Generation Facility should be commissioned in October, as the team was waiting for Hydro Ottawa to give their approval.

The Nicol Building was noted to have an expected occupancy date of March 2021. There were impacts to the timeline due to COVID-19, due the delayed delivery of materials. All furniture has been procured.

The Engineering and Design Centre, an addition to the Mackenzie Building, is on budget and ready to begin development in the coming weeks. The expected occupancy date was noted to be October 2021.

The new Student Residence Building has been placed on hold due to the COVID-19 disruption. FMP is continuing their work with the design team.

A member asked about the Engineering and Design Building budget of \$17.3 million, which is now greater than the \$16.9 million last presented to the Board. Mr. Nower noted that this budget change was due to additional scope of the project. He noted that some structural building changes were required which increased the budget. The budget of \$17.3 million was noted to be firm.

Mr. Piché noted, for context, that the Arise and Health Sciences projects had significant issues with respect to collaboration, design and third-party management. Many changes have taken place since these projects began, such as significant change in FMP leadership, capital project management and Carleton's overall project management framework.

#### 6.1.a. Project Closure Report – ARISE Building

The ARISE building was funded by the federal Strategic Investment Fund (SIF) grant program with matching funds from the university. The project held a very tight timeline with substantial completion required by April 30, 2018. The project began on schedule; however, there were design coordination issues and change orders requested, which were two of the most substantial challenges of the project. An extension was granted for required completion by September of 2018.

Foundation issues were discovered which led to delays in addition to cost overruns of about \$1.2 million. The entire project was managed by a third party, which led to some additional complications. Significant scope change orders were issued throughout the course of construction in order to deal with unforeseen site conditions and design flaws.

There were complications related to the design and construction of the base building. It was noted that the third-part management team did not adequately consult with FMP management on the scope changes processes and overly relied on the architect for project decisions. Due to the presence of two contractors onsite, there were overlapping activities that proved challenging. It was noted that having a firm communications plan in place from the start of the project would have helped to avoid communication issues.

The building has full occupancy. FMP is currently working on a few minor deficiencies such as the exterior panels that have been damaged by weather. The project will be formally handed over to FMP by December 2020.

It was noted that in-house project management will significantly reduce the number of communication and management issues that occurred with the development and construction of the ARISE Building.

A committee member asked if the project management for the Nicol Building is being done through the university and what the main lessons learned with regard to project management were. Mr. Nower noted that the main lesson learned was to not rely on third-party project management. He noted that in his experience, many third-party project managers are only interested in increasing fees by delaying the project, rather than project performance, project delivery or client satisfaction. Project management for the Nicol Building was also through a third-party; however, FMP has taken over project management for the remainder of the project. A greater amount of time will now be allocated to the planning process versus the construction process, which will help to reduce and avoid unwanted or unforeseen issues throughout the projects, to deliver successfully. Mr. Nower highlighted the advantages of managing capital projects in-house.

A follow-up question was asked about handling change-orders. Mr. Nower noted that since the switch to internal project management from third-party management, the number of change orders requiring his signature have decreased significantly. He noted there is much more overall project control with in-house project management, which allows for greater coordination.

#### 6.1.b. Project Closure Report – Health Sciences Building

The construction of the Health Sciences Building is 98% complete, with some minor work outstanding for the animal care provision.

The seven-story building was approved to house the Neuroscience and Health Science Departments with a budget of \$52 million. A second project (phase 2) was added for the fit-up of the 4<sup>th</sup> and 6<sup>th</sup> floor with a budget of \$9 million. The project was expected to go over budget by approximately \$1 million due to deficiencies and added scope which increased complexity of the project. The management of the building has been transferred to FMP.

Full occupancy was expected for the end of August 2020. Outstanding work was noted and is in the process of completion. The contractor and design team are working closely with FMP and the client to finalize all outstanding issues.

Total project expenditures are expected to be \$61.7 million, \$0.7 million overbudget compared to the original budget of \$61.0 million.

Despite the many lessons learned with the development, the project is essentially complete.

A committee member asked about the disruption that the development of the Health Sciences Building and its 1-year extended construction process had on different academic units, such as the Department of Neuroscience. They asked if the team has had any lessons learned from this

experience. He highlighted a few structural issues that delayed the process as well, which added to faculty and departmental disruptions. The President noted the difficulty of speaking to projects that began before changes in senior leadership took place and changes to the project oversight. There had been significant decisions made at the beginning of the projects, which had brought about consequences later on in the implementation process. The President applauded Mr. Nower's efforts, and the team's hard work in completing the project.

A committee member asked about the financial impacts that arose with the delays to both the ARISE and Health Science Building projects. Mr. Nower noted that the budget for the ARISE building was \$1.2 million overbudget, primarily due to site conditions. The Health Sciences Building was slightly over budget, but the exact amount is not yet known as it is not yet fully complete. The project was anticipated to be about 1% overbudget, primarily due to changes and scope increase.

## **6.2 Capital Renewal Plan (Deferred Maintenance)**

An executive summary was circulated to members in advance.

The President noted that the university is continuing deferred maintenance work on campus. It is integral to be a good steward of the university and Carleton has put in place everything needed to continue to fill that role in terms of resources and the quality of the teams.

Mr. Nower noted that Carleton uses a database and auditing system. A systems audit was done of all the assets and all the building systems. The auditors then assembled the information in a database by varied buildings and services. This data was then used to develop a risk matrix to determine and understand what Carleton's risks are, from a Facilities Management and Planning perspective and how this risk could be managed. As the data is filtered by these various risks in the risk matrix, a five-year capital plan was populated to identify projects at the highest risk. There exists an annual spend of \$14 million for deferred maintenance costs.

This report summarized Carleton's five-year Capital Plan. It was noted that the Patterson Building and the Loeb Building have been added, which present unique challenges to the team. With regard to the Loeb Building, the exterior of the building is visibly deteriorating and will need improvements over the next few years. The expected costs of this maintenance is about \$5 million.

With regard to the Patterson Building, the original plan shows the buildings to be demolished. However, Mr. Nower noted it is the second oldest building on campus with a great deal of character and would require replacement. An investment in the building's renewal would be more economical. It was noted that this project will need to be investigated further.

As the university moves through the pandemic, greater thought has been put on space allocation, space use, working from home, parking changes, etc. Building systems are critical, but this thought is challenged with the idea of focusing on building envelope and air handling equipment, air heating and cooling in these times to keep the occupants in a safe environment. The team is beginning to think about campus and building systems in terms of post-COVID-19 and a post-vaccine world, when people return to campus.

A committee member noted that the deferred maintenance schedule contemplates the retrofit of Dunton Tower as swing space. Mr. Nower noted that after speaking with the Deans regarding swing space, Dunton Tower was suggested as it lends itself to bookable meeting space.

The co-chairs thanked Mr. Nower and Mr. Piché for their update and reports.

**7. OTHER BUSINESS**

No additional business was raised.

**8. ADJOURNMENT**

There being no further business it was moved by Dr. Malloy and seconded by Mr. Greenberg to adjourn the meeting at approximately 2:06 p.m. The motion carried unanimously.



*Carleton University acknowledges and respects the Algonquin people, traditional custodian of the land on which the Carleton University campus is situated.*

**Carleton University Senate  
Meeting of August 21, 2020 at 2:00 pm  
Via Zoom Videoconference**

**MINUTES – OPEN SESSION**

**Present:** S. Ajila, K. AlWazir, V. Asi, B.A. Bacon (Chair), M. Barbeau, O. Baysal, S. Blanchard, A. Bowker, S. Boyle, D. Brown, N. Bruni, A. Chandler, M. Close, T. Daniels, J. Deaville, D. Deugo, D. Dragunoiu, D. Edi, M. Gagne, G. Garland, D. Gillberg, R. Goubran, S. Gulati, M. Haines, B. Hallgrimsson, O. Hobbs, C. Joslin, L. Kostiuik, J. Kovalio, B. A. Kuzmarov (Clerk), A. Lannon, C. Laurendeau, A. Luko, C. Macdonald, B. MacLeod, S. Maguire, R. McKay, H. Nemiroff, J. Paulson, A. Plourde, P. Rankin, M. Rooney, D. Russell, S. Sadaf, J. Sinclair-Palm, S. Sivathayalan, E. Sloan, P. Smith, D. Sprague, R. S. Sundarraj, J. Taber, K. Taylor, N. Tilokani, J. Tomberlin, C. Trudel, C. Viju, K. von Finckenstein, J. Voordouw, J. Wolfart, P. Wolff, B. Wright, W. Ye

**Regrets:** K. Hellemans, E. Kwan, J. Milner, J. Moore, M. Piche, K. Weary, P. Wilson

**Absent:** A. Ahmad, J. Bruno, C. Cruickshank, T. Di Leo Browne, F. Hosseinian, B. Popplewell, J. Stoner, A. Tremblay,

**Guests:** L. Dyke, D. Hornsby

**Recording Secretary:** K. McKinley

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**Open Session:**

**1. Welcome (Chair) & Approval of Agenda**

The Chair began the Open Session of the meeting by extending a warm welcome to Senators, and especially to new Senators just beginning their term. The Chair offered condolences to friends and family of Carleton student Abel Mengistab, and long-serving Carleton staff member Gilles Leblanc, who passed away on June 18 and July 28, respectively. On behalf of the Carleton

community, the Chair offered sympathies as well to all affected by the devastating explosion in Beirut, Lebanon on August 4, 2020.

It was **MOVED** (N. Tilokani, S. Sadaf) that Senate approve the open agenda for the meeting of Senate on August 21, 2020, as presented.

The motion **PASSED**.

## **2. Minutes: June 19, 2020**

It was **MOVED** (C. Macdonald, M. Haines) that Senate approve the minutes of the Open Session of the Senate meeting on June 19, 2020, as presented.

The motion **PASSED**.

## **3. Matters Arising**

There were none.

## **4. Chair's Remarks**

The Chair reported on the strong enrolment numbers for both summer and fall terms, and thanked all involved for contributing to the continuing success of Carleton's academic mission. The Chair noted that Carleton's decision to hold courses online for the fall will help protect the health and safety of Carleton's students, staff and faculty and will prevent the outbreaks seen at several schools in the United States. The Chair congratulated students who have chosen to continue their studies during the pandemic. Pursuing advanced learning and obtaining a university degree shows good judgement and will position them well for employment in the future.

In the wake of the police killing of George Floyd and the ensuing protests and unrest in the United States, Canada and abroad, Carleton University has recommitted to enhancing diversity, inclusion and anti-racism on campus. Under the leadership of Michael Charles, AVP of Equity and Inclusive Communities, the Advisory Group on Equity and Inclusive Communities has drafted a series of recommendations for Equity, Diversity and Inclusion Institutional Action. This broad-ranging and comprehensive strategy will bring long-term positive change to Carleton. Campus-wide consultations on the draft will be announced shortly, and the full strategy should be in place by the end of the calendar year. Michael Charles will join Senate on September 25 to lead discussions on the draft strategy.

The Chair next reported on the Carleton Community Anti-Racism and Allyship Conversation, which was held virtually earlier in the week and was very well attended. The culmination of a number of events held over the summer, this session explored strategies to bring anti-racist and decolonializing principles into the work of academics and staff at Carleton. Featured guest speakers included CFL wide-receiver and Carleton alumnus Nate Behar, and Michelle Brownrigg, a Senior Director and Chief Program Officer for Hart House at the University of Toronto. The Chair thanked all who participated in this rich and engaging event.

Carleton University has won the Carbon 613 excellence award for sustainability in research, teaching and campus programs. This award recognizes our past achievements in sustainability, and our commitment to become carbon neutral by 2050. Carleton has reduced carbon emissions by 35% over the past decade and was recently recognized as the second most sustainable university in Canada by the UI GreenMetric World University Rankings.

The Chair informed Senators that, following a comprehensive review and consultations with the Teaching and Learning community, Carleton has selected BrightSpace by Desire2Learn as Carleton's new Learning Management System. BrightSpace will replace CULearn in the spring of 2021.

The Chair concluded his remarks by extending congratulations to the following individuals for their achievements:

- Carleton doctoral students David Luong (Systems and Computer Engineering), Jean Ketterling (Legal Studies), and Antoine Genest-Gregoire (Public Policy), have each been awarded prestigious Vanier Canada Graduate Scholarships. Each scholarship is valued at \$50,000 per year for 3 years while the recipient pursues doctoral studies.
- Biology PhD student Jill Brooks has won the Eugenie Clarke Memorial Award, for early-career female scientists in biological research.
- Professor James McGowan has been appointed as the new Carleton Chair in Teaching & Innovation.
- Professor Joy Mighty has received the Christopher Knapper Lifetime Achievement Award for her contributions to teaching, learning and educational development in her 40-year career in higher education.

## 5. Question Period

Five questions were submitted by Senators in advance.

### 1) Question from Sean Maguire:

*Can Senate receive an update on the status of athletic scholarships, given the Covid-19 pandemic? Specifically, have athletic scholarships in place during 2019-2020 been continued into 2020-2021? Were a similar number of new athletic scholarships offered for 2020-2021, notwithstanding the suspension of most interuniversity sports until at least January 2021?*

### Response from Vice-President Students and Enrolment:

U Sports is allowing universities to provide athletic scholarships in 2021, provided the athlete meets the academic and athletic eligibility requirements. This will proceed, even if athletic activities and competitions are reduced or suspended due to the pandemic. Carleton has committed to the same number of athletic scholarships that were provided in 2019/20, and the same process will be followed in awarding them.

### 2) Questions from Andrea Chandler:

- a) *I was informed that one of my fall term courses is considered a 'priority course.' What process was used to determine which courses are 'priority courses,' who is involved in these decisions, and what does it mean to be a 'priority course'? Priority for what?*

### Response from Associate Vice-President, Teaching and Learning:

The list of priority courses was selected by the Deans of the Faculties, with some additional advice from Teaching & Learning Services. The list typically includes required courses for degree programs, courses with large enrolments, and others that might require additional technical support.

- b) *Could we have an update on the progress of the Quality Assurance Committee for assessing the best practices/lessons learned from the experience of the winter term 2020, as discussed in the May meeting of Senate? What steps have been taken and what consultations are currently in progress?*

This question will be answered during the Report of the Senate Quality Assurance and Planning Committee (Agenda Item 7b)

3) Questions from Morgan Rooney:

- a) *Can the President speak to any plans, tentative or otherwise, for Winter 2021 course offerings at Carleton? Will courses be all online? If the matter is not yet settled, by what date, approximately, can instructors expect to learn their options for course delivery for the winter term? Given the extra labour required to prepare and teach their courses online in the Fall, it is to be expected that instructors will be over-extended this term and will have limited time for winter course development: the sooner we know, the sooner we can get started. (If this subject is directly addressed in the Chair's Remarks, please ignore.)*

This question will be answered in Agenda Item #10.

- b) *What initiatives or steps is Carleton undertaking to ensure that students are getting easy, advanced access to information about 1) required course textbooks and 2) the course modality of the courses they are enrolled in and the kinds of technology they need to succeed in those courses (e.g., an instructor teaching an entirely synchronous or mixed modality course may well expect students to have a mic and a webcam)? Given the likelihood that mail / package delivery is going to be delayed in September as a result of millions of students across Canada making orders for such things at the same time, it seems highly advisable that students be given the chance to start ordering such items before the start of the term, so as to ensure that they have them on hand during the first week of classes. To do that, they need information from their Fall term course instructors in the weeks before the start of the term.*

Response from the Provost:

Textbook adoption is following normal procedures. Instructors are encouraged to submit their textbook lists to the bookstore four months prior to the start of the semester, or as soon as possible. The Provost's Office is not aware of any current issues with this process, although the concern is noted.

Course outlines are not required to be available to students until one week before the beginning of the semester. However, the Provost's Office has requested that course outlines be made available to students as soon as possible, and that the course outlines specify the course modality (synchronous, asynchronous or a combination) that will be used. This is important information for students who may be living and studying in different time zones. Faculty members have

been encouraged to survey students in their classes early in the semester, to be able to adapt to and accommodate students in different time zones.

## 6. Administration (Clerk)

### a. Notice of appointments made contrary to advertising policy

The Clerk reported two appointments made contrary to advertising policy. The first is an Instructor I position, from term to preliminary, as a result of a resignation or retirement. The second position for an Instructor III position (term to preliminary), was not advertised due to lack of time.

### b. Senate membership ratification

Nominations were received from one faculty member and two students to fill vacancies on Senate.

It was **MOVED** (B. Kuzmarov, M. Close) that Senate ratify the new Senate appointments, as presented.

The motion **PASSED**.

### c. Reminder: Contract Instructor Call for Nominations

The Clerk reminded Senators that a Call for Nominations for Contract Instructor positions on Senate has been advertised to the Carleton community. The nomination period began on August 11 and will close on September 11. Elections will be held on September 15-16. Newly elected Contract Instructors for Senate will be ratified at the Senate meeting on September 25, and will begin their terms on October 1, 2020.

## 7. Reports

### a. Senate Committee on Curriculum, Admissions and Studies Policy (SCCASP)

Committee Chair Howard Nemiroff reported that SCCASP has met over the summer to discuss current grading practices at Carleton, both within the context of the current pandemic, and with regards to drafting a successful long-term policy. SCCASP has been working with David Hornsby's working group on student success in the classroom, and with CASG President Matthew Gagne to craft a robust policy that will benefit students in years to come.

SCCASP has been accumulating data on practices at universities in Ontario and beyond. One example, the Massachusetts Institute of Technology, has developed a progressive and detailed policy that defines credit and no-credit options per year of study. This policy could serve as a model for Carleton. For first-year undergraduate students at MIT, a pass/fail only option with no grades or CGPA calculation has been developed on an exploratory basis. More flexible options are available to senior-year students to designate pass/fail options after receiving their grades. Several Canadian universities have developed similar policies. It was noted that the committee did not seek examples from European universities.

Over the next few weeks as the policy is being drafted, SCCASP members will bring back comments from their respective faculties, with a view to presenting a policy to Senate over the course of the fall.

**b. Senate Quality Assurance and Planning Committee - SQAPC**

The committee Chair, Dwight Deugo, presented one minor modification from Dominican University College to Senators for information. In accordance with Carleton's IQAP, minor modifications made to programs at Dominican University College are forwarded to Carleton University and presented to Senate for information. The process is outlined in the materials that were circulated to Senators.

The committee Chair then provided an update on the ongoing SQAPC review of the move to online course delivery. Since the last Senate meeting in June, results from the OIRP e-learning survey to students have been received, and TLS has responded to faculty and student needs identified in the survey. Another survey on how Carleton handled the pivot is underway, and will be distributed to faculty and staff next week. Responses to this survey will be brought through SQAPC to Senate this fall.

The committee Chair met with the Associate Deans over the summer regarding academic integrity needs, and a review of the policy is underway. The next step will be for the Associate Deans to meet with the Deans to discuss responses to needs with regards to academic integrity. The Chair also has been gathering data on student mental health, and assessment and grading practices.

SQAPC will meet twice in September, and will report on the outcomes of those meetings to Senate on September 25. The committee Chair also noted that concerns and issues identified through the student survey will be reported to Senators in September. Data gathering will continue into the fall, and reports to Senate will continue as the committee develops more insights.

In response to a question, it was noted that a review of the Academic Integrity Policy will be coming to Senate this year via SCCASP.

## **8. SMA Update**

For the benefit of new Senators, the Chair reviewed the Strategic Mandate Agreement process, outlining the history of the previous agreements from SMA1 in 2014 and SMA2 in 2017 to the status of the most recent SMA3 in 2020. SMA3 began in the Fall of 2019 with a new quantitative approach, focussing on 10 metrics designed to be linked to a proportion of Carleton's funding envelope. The agreement was ready to sign in March of 2020, but was put on hold by the provincial government due to the pandemic. In July, the government re-engaged with the university sector to complete the process.

Deputy Provost Lorraine Dyke presented a review of the 10 metrics of SMA3 and an update on changes made to the agreement since the draft was presented to Senate in March. Key changes approved by the Ministry include the following:

- Impact of performance on funding will be lagged by one year.
- Additionally, performance in years 1 and 2 will not be linked to funding.
- The first performance impact will be in year 4, based on the results of year 3.
- Universities will be consulted before the ministry proceeds to performance-based funding on the year 3 data.
- Institutions will have the opportunity to re-weight the metrics over the first 3 years of the agreement, and to revise strategy narratives.

Changes initiated by Carleton in the agreement include the following:

- A summary of new SIP was added.
- COVID-19 was referenced.
- The Senate policy on laddered credentials was included.
- The Share Online Projects Initiative, in collaboration with University of Ottawa was highlighted.

The Chair added that postponing the performance impact on funding was achieved primarily through advocacy work of the COU and individual institutions.

A Senator asked about the impact of performance-based funding on the Arts and Social Sciences, especially if the funding is linked to post-graduation employment. In response it was noted that Carleton graduates from FASS are successful in finding employment, although in more diverse career paths. Support will continue for programs in Arts and Social Sciences at Carleton.

A Senator asked if the SMA addresses digital learning and micro-credentials. Although there are no metrics on these topics, they are of interest to the ministry, and have been addressed in the minor revisions to the SMA. It was noted as well that international students are not referenced in the metrics, and are not being examined by the Ministry.

The Chair thanked the Deputy Provost and others involved in the SMA process.

## **9. Preparing for Fall 2020**

Guest David Hornsby, AVP, Teaching and Learning, presented a report on the activities of Teaching & Learning Services, in preparing students and faculty for the online Fall semester. Highlights included:

- Identification, development and support of 112 priority courses
- Development of more than 100 projects through the Students as Partners Program and 17 projects through the Shared Online Projects Initiative
- Increase in support and capacity within the teaching community through development of an online teaching toolkit, workshops, one-on-one consultations and professional development sessions
- Acquisition of technology and technological support for teaching and learning
- Acquisition of a new learning management system for 2021 and upgrading CULearn for 2020

In conclusion, it was noted that TLS has responded to the needs of students and faculty with proactive leadership and that instructors have risen to the challenge of adapting, experimenting and pushing new boundaries in meeting the

challenges of the pandemic. The Chair thanked faculty, staff and students for contributing to the successful launch of the Fall semester.

A Senator asked about accommodations for students with barriers to online participation, such as unstable or unavailable Internet connections. Faculty have been advised of this issue and have been asked to include asynchronous elements such as recorded videos and captions whenever possible. The Vice-President of Students and Enrolment indicated that the university has a comprehensive support plan for students through scheduling and exam services, and has developed, on an as-need basis, a tech bursary to assist students in purchasing the equipment they need.

A Senator asked about feedback regarding Big Blue Button and/or Zoom, and whether a student user's group for BrightSpace could be formed before the general rollout next spring. In response it was noted that students were not specifically surveyed about platforms but have provided general feedback and will be able to continue to do so during the transition phase to the new Learning Management System from now to May 2021. The most common concern among students appears to be the mode of instruction (synchronous/asynchronous) and not the platform used.

Some Senators asked about specific pedagogical practices such as mandatory attendance and/or synchronous lectures that are not recorded, and the resulting issues for students in different time zones or without stable Internet connections. It was noted that Senate has not yet forced instructors to adopt specific pedagogical procedures. Instructors will continue to be strongly advised to be flexible and to use asynchronous and/or blended modes of instruction to avoid these issues.

A Senator asked if international TAs would be available for the fall and winter terms. The Provost responded that due to labour legislation and regulations, obstacles to engaging students outside of Canada as TAs and RAs have not been fully resolved at this time.

The Chair thanked David Hornsby and his team at TLS for their dedication in supporting faculty and students through these difficult circumstances.

## 10. Planning for Winter 2021

Deputy Provost Lorraine Dyke presented a report on the Carleton University Scenario Planning (CUSP) Working Group's recent activities and recommendations for the Winter semester, which were included in a draft memo circulated to Senators. The draft memo is being presented for discussion and feedback at this meeting in advance of a vote to endorse a finalized memo at the September Senate meeting.

Due to a significant resurgence in Covid-19 cases abroad and to some extent in Canada, public health risks to Canadians remain high. Because of these risks and the lack of an approved vaccine at this time, the Public Health Agency of Canada recommends that Canadians continue to avoid closed spaces, crowded places, and close contact. The latest modelling data from August 14th indicates the probability of a second wave of illness in Canada at a much higher rate than the spring, unless guidelines are adhered to rigorously.

As a result, CUSP is recommending that Carleton continue to offer courses through remote delivery in the Winter 2021 term, to protect the health and safety of faculty, staff and students, and to ensure equitable access for all students. CUSP also recommends that any on-campus learning activities, such as capstone projects, be optional, and that on-campus research facilities including the Library, continue to operate according to public health guidelines. Online supports for student services and for teaching and learning should continue to be provided during this time. CUSP is also considering whether small pilot projects, on a voluntary basis, could be brought onto campus for fall and winter terms.

It was noted in response to a question, that Ontario universities are all online this fall and that some have already announced this will continue in winter, with more announcements coming.

Senators asked about programs that are dependent on experiential learning outcomes and hands-on learning. One Senator noted that online courses might be the best Carleton can do at the moment, but they are not necessarily working for programs in which hands-on learning is key. It is hoped that some of the learning objectives can be captured in an online environment, but there could be opportunities for capstone projects and/or other pilot projects to be conducted on campus in the winter, on a voluntary basis, to achieve these outcomes as well. One Senator suggested that

graduating recitals and concerts featuring music students could be an example of this type of project.

A Senator asked if courses could be held outdoors, to lower the risk. A Senator from Architecture indicated that perhaps some of their projects could be undertaken outdoors. CUSP has not considered this, due to the challenges of the Canadian climate, but will take it under advisement.

In response to another question, it was noted that access to campus buildings has resumed but remains restricted for certain groups and circumstances. The priority for staff is to continue to work remotely, but access can be provided to faculty and staff who are not able to work from home. Specific directives have been developed for both public areas and work spaces, in order to comply with health and safety guidelines. In response to a specific question regarding student society spaces on campus, the Vice-President of Students and Enrolment (VPSE) noted that access can be provided under certain circumstances following defined protocols. Student groups who wish to access their office spaces should contact the OVPSE for details.

The University Librarian, Amber Lannon, indicated that the library is moving into the next phase of their recovery plan, which will involve reopening one floor of the library. The number of people allowed inside the building on this floor will be restricted to 50, in accordance with current public health protocols. This will allow library staff to continue to devote their time to curbside pickup, mailing materials and working on acquisitions in order to serve the Carleton community.

In concluding the discussion on this issue, Senators supported the draft memo and provided a preliminary endorsement of the CUSP recommendations. The Chair reminded Senators that in order to provide adequate lead time for instructors and others to be able to prepare Winter term courses, an announcement about this decision may be made before Senate meets to formally vote on the memo on September 25<sup>th</sup>.

The Chair thanked the Deputy Provost for the report from CUSP and for the group's work on this issue.

## **11. Reports for Information:**

### **a. Draft SIP Layout**

A draft layout of the Strategic Integrated Plan was circulated to Senators for information.

**b. Senate Executive Committee Minutes (June 9, 2020; July 15, 2020)**

There were no comments or questions.

**12. Other Business**

The Chair thanked the Clerk of Senate and the Secretariat team for the work in preparing the extra Senate meeting in August, and he thanked all Senators for their dedication to Carleton in these challenging times.

**13. Adjournment**

The meeting was adjourned at 4:00 pm.



*Carleton University acknowledges and respects the Algonquin people, traditional custodian of the land on which the Carleton University campus is situated.*

**Carleton University Senate  
Meeting of September 25, 2020 at 2:00 pm  
Via Zoom Videoconference**

**MINUTES – OPEN SESSION**

**Present:** A. Ahmad, S. Ajila, K. AlWazir, B.A. Bacon (Chair), M. Barbeau, S. Blanchard, A. Bowker, D. Brown, N. Bruni, J. Bruno, A. Chandler, M. Close, T. Daniels, J. Deaville, D. Deugo, D. Dragunoiu, D. Edi, M. Gagne, G. Garland, D. Gillberg, R. Goubran, S. Gulati, M. Haines, B. Hallgrimsson, K. Hellemans, O. Hobbs, F. Hosseinian, C. Joslin, L. Kostiuik, J. Kovalio, B. A. Kuzmarov (Clerk), E. Kwan, A. Lannon, C. Laurendeau, A. Luko, C. Macdonald, B. MacLeod, S. Maguire, J. Milner, J. Moore, H. Nemiroff, J. Paulson, M. Piche, B. Popplewell, P. Rankin, M. Rooney, D. Russell, S. Sadaf, S. Sivathayalan, E. Sloan, P. Smith, D. Sprague, J. Taber, K. Taylor, N. Tilokani, J. Tomberlin, A. Tremblay, C. Trudel, C. Viju, J. Voordouw, K. Weary, P. Wilson, J. Wolfart, P. Wolff, W. Ye  
**Regrets:** O. Baysal, T. Di Leo Browne, R. McKay, A. Plourde, J. Sinclair-Palm, R. S. Sundarraj, B. Wright

**Absent:** V. Asi, C. Cruickshank, J. Stoner, K. von Finckenstein

**Guests:** M. Charles

**Recording Secretary:** K. McKinley

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**Open Session:**

**1. Welcome (Chair) & Approval of Agenda**

The Chair welcomed all participants to the second Senate meeting of the academic year, and wished all Senators a happy Franco-Ontario Day. A warm welcome was extended to new Senators Julia Wallace, Cameron Davis, Lisa Tsintsadze and Manuel Baez. The Chair thanked departing Senators Andre Plourde and Timothy Di Leo Browne for their service on Senate. The Chair congratulated COU Academic Colleague and Chair of the Department of Neuroscience Kim Hellemans on receiving an Award of Excellence from the

Ontario Minister of Colleges and Universities. The award recognizes educators demonstrating outstanding skills in innovative educational practices and leadership. The Chair added that several individuals from Carleton independently nominated Dr. Hellemans for this award. Finally, the Chair reminded Senators that September 25, 2020 is also Recovery Day Ottawa (RDO). Carleton is a community partner for this important event, organized by the Community Addictions Peer Support Association (CAPSA).

It was **MOVED** (N. Tilokani, K. AlWazir) that Senate approve the agenda for the meeting of Senate on September 25, 2020, as presented.

The motion **PASSED**.

## **2. Minutes: August 21, 2020**

It was **MOVED** (J. Deaville, D. Gillberg) that Senate approve the minutes of the Senate meeting on August 21, 2020, as presented.

The motion **PASSED**.

## **3. Matters Arising**

At the previous meeting Senators had requested more information on the student tech bursaries. The Chair noted that this information has been emailed to Senators.

## **4. Chair's Remarks**

The Chair noted that the Fall semester has begun successfully, and he thanked students, faculty and staff for their outstanding efforts in adapting to the online environment given the ongoing challenging circumstances caused by the pandemic. In response to rising numbers of Covid-positive cases in Ottawa, Carleton has intensified testing and contact tracing as needed, and is following mitigation measures in accordance with current guidelines. With the second wave of the pandemic profiling, the decision to deliver course content online through the Fall semester means that Carleton can protect the health and safety of students, staff and faculty while continuing to fulfill its academic mission. The Chair praised innovation across the community and noted as an example the success of the Students as Partners Program, in which students have been paired with instructors to design online courses. Carleton's program has been a huge success and is the largest of its kind in Canada.

The Strategic Integrated Plan Launch will be held on Wednesday, September 30. Senators helped to shape this document through several consultations and

the Chair encouraged all to attend the launch, which will be held virtually. 500 people have already registered for the event.

Finally, the Chair mentioned the recent completion of the draft Equity Diversity and Inclusion (EDI) Action Plan, which has been posted on the EDI website. Consultations and town halls are underway, and Assistant Vice-President and University Advisor for Equity and Inclusive Communities Michael Charles will join Senate today for substantive discussion and consultation on the plan.

## 5. Question Period

No questions were submitted in advance.

## 6. Administration (Clerk)

### a. Membership Ratifications

Senators were asked to ratify two Contract Instructor representatives and one faculty member as new Senators.

It was **MOVED** (B. Kuzmarov, D. Edi) that Senate ratify the new Senate appointments, as presented.

The motion **PASSED**.

### b. Senate Survey Report

The Clerk presented a brief summary of the results of the 2020 Senate Survey. The following elements were highlighted:

- Response rate: 41% (33/80 responded)
- Respondent Profile:
  - 46% had served more than one term on Senate
  - 64% of respondents were faculty members or contract instructors, 9% were ex officio, 6% were students
- Orientation: 51% attended an Orientation session and more than 90% of those who attended agreed that it was appropriate and helpful
- Self Assessment indicated that most Senators attend meetings and are well prepared for them.
- Strengths identified included: good leadership; respectful, open, and collegial meetings; and efficient and agile administration.

- Suggestions for improvement included: managing volume of documentation; encouraging more diverse participation in meetings; and ensuring that Senate is involved in academic decisions.

The Clerk thanked all Senators who participated in this survey and noted that the 2021 Senate Survey will be distributed earlier in 2021 to enable students to participate more effectively.

## 7. Reports

### a. Senate Committee on Curriculum, Admissions and Studies Policy (SCCASP)

The Chair, Howard Nemiroff, presented one motion for approval, two updates and three items for information.

Item for Approval: Stream Pathway Glossary Definitions

Definitions in the glossary have been modified so that pathways and streams are included on the student transcript. The SCCASP Chair noted that 1.5 credits now count as a stream.

It was **MOVED** (H. Nemiroff, D. Deugo) that Senate approves the changes proposed to the definition of Stream and Pathway within the 2020-21 Undergraduate Calendar, as presented.

The motion **PASSED**.

Items for Information:

- BA Template: The term “general” has been removed from the document, in line with a motion previously approved by Senate on this issue.
- Minor in Computer Science: The term “limited enrolment” has been added to allow for management of numbers for this minor.
- Editorial Changes: These consist mostly of collateral edits, corrections of typos, and so on.

Policy Updates:

*Academic Integrity Policy:* Associate Deans have been meeting regularly to work through the update to this policy. Updates will focus mostly on procedures and the new online environment. A revised document will be brought to Senate by the end of 2020, if possible.

A Senator asked for clarification of the policy with regards to ownership of intellectual property. For example, computer code is often “owned” by students who then share or post it online. The Chair agreed to clarify the language in the policy around this issue.

In response to another question it was noted that tools to detect plagiarism are not in the purview of this policy and are being discussed by other bodies at Carleton.

*Grading Policy:* SCCASP has been meeting with CASG and the Deans to discuss modifications to the grading policy. The proposal focusses on three main outcomes:

- Student well-being
- Academic Success / Retention
- Graduation

A landscape survey has been completed, and provides a strong sense of what other universities are doing. The survey reveals that Carleton is one of the few schools in the survey that does not have exploratory options for students.

SCCASP is moving towards the creation of a formal long-term grading policy that respects the pedagogical rigor of Carleton and sends the right message to stakeholders. This policy will be brought to Senate later this fall or early in the new year.

The Provost spoke to the immediate challenges of grading options for this year’s Fall and Winter semesters. He began by reviewing decisions on grading options that were taken in the Winter 2020 semester:

- Automatic conversion of all failures to UNSAT
- Option for students to convert other grades to SAT

- Change in rules for Academic Performance Evaluations

For the Fall 2020 and Winter 2021 semesters, the Provost presented the following recommendations for Senate discussion:

- Automatically convert all failures to UNSAT (undergraduate students only)
- Amend the Academic Performance Evaluation in a manner similar to that adopted for the Winter 2020 term (undergraduate students only).

The President of CASG indicated that CASG will be meeting with all student academic clubs and societies to discuss these proposals and to collect student input. The Chair thanked CASG for their leadership on this issue.

In the ensuing discussion, Senators asked if graduate students could be included in the recommendations. The Dean of FGPA noted that graduate students were not included because of the need for consistency with other institutions across Ontario and Canada, but she agreed to continue the discussion at Graduate Faculty Board and in consultation with SCCASP.

It was also noted that the original grade for a course is preserved and available via the Registrar's Office, and will be used to determine if the student can advance. This is important for programs for which the grade to advance is higher than a D. The Provost also clarified that students who abandon courses will receive an F and cannot request a change to UNSAT.

In response to a question the Chair of SCCASP noted that departments, especially those that are accredited, will be consulted about any permanent or long-term changes to grading options in the policy. The procedure will be to work with Associate Deans, and to meet with faculty members at Chairs & Directors meetings to discuss the proposals.

Some Senators also suggested that the SAT option be included, as it was for the Winter 2020 semester, but perhaps with a limit on the number of courses that could be converted to a SAT grade. The Provost agreed to take this suggestion back to the group for discussion.

The Chair and Provost thanked Senate for the useful discussion, and noted the general support to continue compassionate measures for students in terms of grading options. A resolution will be expected at the October Senate meeting.

**b. Senate Quality Assurance and Planning Committee - SQAPC**

The committee Chair, Dwight Deugo, provided an update on the SQAPC review of Carleton's pivot to online course delivery. He began by sharing the results of the May 2020 student survey, which focussed on the pivot during March and April of 2020.

Students were asked to identify both the successes and the challenges they experienced in the transition to online learning. Successes identified included support from instructors, technologies used, and communication from the university. Challenges included:

- Access to high-speed or reliable Internet
- Instructor discomfort with required technologies/applications
- Access to library resources
- Lack of in-person contact with classmates and instructors
- Lack of quiet place to learn and study
- Preference for face-to-face learning and lack of adequate digital replacements for face-to-face collaborations
- Challenging formats for final exams

Students indicated a preference for either asynchronous courses (42% UG) or a blend of synchronous and asynchronous elements (44% UG, 52% GR).

Next, the [SQAPC] Chair presented a review of the university's response since the survey (from March to September) focussing on these areas across the university:

- Communications
- Information Technology Services
- Student Resources
- Library
- Teaching & Learning Services
- Scheduling & Examination Services

- Assessment
- Academic Integrity
- Mental Health

Moving forward, the [SQAPC] Chair noted that SQAPC will report on the faculty/staff survey in October, and a review of the Fall practices update will be provided in January.

A Senator asked if it would be possible to obtain a deeper analysis of the data. The [SQAPC] Chair agreed to bring this request to the Office of Institutional Research and Planning for consideration.

The Chair thanked SQAPC for their valuable contribution and noted their work will help Carleton to move forward.

**c. Senate Academic Governance Committee (SAGC)**

The committee Chair, Betina Appel Kuzmarov, presented a list of nominees to four Senate committees for ratification.

It was **MOVED** (B. Kuzmarov, S. Maguire) that Senate ratify the following new Senate committee appointments, as presented.  
The motion **PASSED**.

Senators were reminded of remaining vacancies for faculty members and students on committees. Details can be found on the Senate website.

**8. Planning for Winter 2021**

**a. Motion from the Provost**

The Chair introduced this item by reminding Senators of the presentation by CUSP in August, that recommended continuing online course delivery in the Winter 2021 semester, with the possibility of some pilot projects offered on campus. Senators had discussed this report in August, and had provided a preliminary endorsement of these recommendations.

The Provost presented the motion to Senate for approval.

It was **MOVED** (J. Tomberlin, K. AlWazir) that Senate confirm that all scheduled Winter 2021 courses at Carleton be offered through online and other methods of distance learning.

The motion **PASSED**.

#### **9. Consultation – Draft Recommendations for Equity, Diversity and Inclusion (EDI) Institutional Action**

The Chair introduced guest speaker Michael Charles, AVP and University Advisor, Equity and Inclusive Communities. Michael Charles leads the Equity and Inclusive Community Advisory Group, composed of faculty, staff, students and external community leaders, to oversee the creation of a strategy for EDI institutional action. A draft strategy has been completed and was circulated to Senators in advance.

The Equity and Inclusive Communities Advisory Group was formed in April of 2020 to develop a strategic vision for EDI at Carleton and to propose a framework of actions for its implementation. Over the summer, 40 targeted community consultations were held and the Advisory Group approved the recommendations. Two Town Halls have been scheduled for the fall, and feedback on the draft can also be submitted through the live online form on the EDI website. Mr. Charles also reminded Senators of Inclusion Week, scheduled for October 19 – 23, which will feature a number of prominent guest speakers. In November, Mr. Charles will return to Senate for further discussions of the plan.

Mr. Charles then presented a high-level summary of the ten thematic drivers of the overall plan and the relationship between this plan and others at Carleton, including Kinàmàgawin and the Coordinated Accessibility Strategy. Areas identified for EDI strategic action include:

- Curriculum and Pedagogy
- Student Supports
- Research
- Senior Leadership Team and Board of Governors
- Leadership Development General (Non-Academic Employees)
- Leadership Development General (Academic Employees)
- Disaggregated Demographic Data Collection
- Representation and Outreach
- Culture
- EDI Planning Infrastructure and Reporting

Mr. Charles highlighted the comprehensive approach of the plan and its innovative, integrated, holistic, flexible and ambitious qualities. He noted in particular that it is community engaged and data driven, positively framed, and that it leaves room for local customization. Implementation of the plan will take place over 5 years, and will be divided into 2 phases. Senators were invited to consult the website for more detailed information.

Senators responded favourably to the presentation and the plan. The Chair thanked Mr. Charles and the EIC Advisory Group for their thorough and impressive work this important initiative.

## **10. Reports for Information:**

### **a. Senate Executive Committee Minutes (August 11, 2020)**

There were no comments or questions.

## **11. Other Business**

Senator Justin Paulson informed Senators that a PhD candidate from FASS, Cihan Erdal, was arrested in Turkey on the morning of September 25 while undertaking field research. The Department of Anthropology and Sociology has issued a statement condemning this action, and Senator Paulson suggested a motion for Senate with a similar message:

It was **MOVED** (J. Paulson, N. Tilokani) that Carleton condemn the detention of Cihan Erdal, a student in our Sociology PhD program since January 2017, for signing a letter in 2014 against the ISIS assault on Kobane. We expect Turkey to release Mr. Erdal immediately. We also expect the Canadian government to extend diplomatic and consular support to Mr. Erdal, a permanent resident, and to move without delay to accelerate and facilitate his release.

### Discussion:

The Chair noted that Carleton will be contacting Global Affairs, the local Member of Parliament, and Universities Canada about this issue. The Dean of FASS added that their faculty has been exploring avenues to provide support as well.

It was suggested that Senate receive the motion from the Department of Anthropology and Sociology:

*Carleton condemns the detention of Cihan Erdal, a student in our Sociology PhD program since January 2017, for signing a letter in 2014 against the ISIS assault on Kobane. We expect Turkey to release Mr. Erdal immediately. We also expect the Canadian government to extend diplomatic and consular support to Mr. Erdal, a permanent resident, and to move without delay to accelerate and facilitate his release.*

It was further suggested that Senate express concern over this emerging situation.

The motion was **WITHDRAWN**.

Senator Paulson presented an alternative motion for Senate.

It was **MOVED** (J. Wolfart, M. Close) that Senate waive the notice of motion for the motion presented by Senator Justin Paulson regarding Senate's response to the arrest of a PhD student.

The motion **PASSED UNANIMOUSLY**.

It was **MOVED** (J. Paulson, J. Milner) that Senate is deeply concerned by the arrest of one of Carleton's PhD students, Cihan Erdal.

The motion **PASSED UNANIMOUSLY**.

## 12. Adjournment

The meeting was adjourned (J. Milner, K. AlWazir) at 4:13 pm.